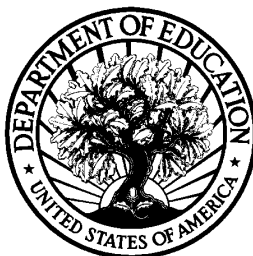


# FISCAL YEAR 2006 APPLICATION FOR NEW GRANTS FOR THE EARLY READING FIRST PROGRAM

Title I, Part B, Subpart 2,  
Elementary and Secondary Education Act of 1965  
as amended by the No Child Left Behind Act, 2001, Public Law 107-110

*CFDA Number: 84.359A – Pre-Application*  
*CFDA Number: 84.359B – Full Application*

*FORM APPROVED*  
*OMB No. 1890-0009*  
*Expiration Date: June 30, 2008*



**DATED MATERIAL – OPEN IMMEDIATELY**

**Closing Dates for Application Transmittal:**

*Pre-Application: February 21, 2006*  
*Full Application (for invitees only): May 8, 2006*

Applicants for this program competition must use the new government-wide website, Grants.gov (<http://www.grants.gov>), to apply. This will replace last year's requirement that applicants use the U.S. Department of Education's e-Grants system. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0009** (expiration date: June 30, 2008). The time required to complete this information collection is estimated to average 14 hours per response for the Pre-Application, and 24 hours per response for the Full Application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to:** Ms. Rebecca Haynes, Student Achievement and School Accountability Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3C138, Washington, D.C. 20202-6132; (202) 260-0968; E-mail: [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov) or Ms. Jill Stewart, Student Achievement and School Accountability Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3C136, Washington, D.C. 20202-6132; (202) 260-2533; E-mail: [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov)





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Section A:

DEAR APPLICANT LETTER



Dear Applicant:

Thank you for your interest in the Early Reading First program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. Early Reading First is a direct discretionary Federal grant program that is authorized by *No Child Left Behind* and is part of *Good Start, Grow Smart*, the President's important early childhood initiative. *Good Start, Grow Smart* is designed to help States and local communities strengthen early learning for young children so that they arrive at kindergarten with the fundamental skills necessary to be successful in school from the start. President Bush believes that all children must begin school with an equal chance to attain success.

As part of *Good Start, Grow Smart*, the ultimate goal of the Early Reading First program is to improve the school readiness of our nation's young children, especially those from low-income families, by providing support for early childhood education programs serving preschool-age children so they may become preschool centers of educational excellence. Many of America's young children face daunting challenges as they enter kindergarten lacking the essential reading readiness skills necessary to succeed. Through improvements in instruction and the classroom environment that are grounded in scientifically based reading research, Early Reading First helps children develop the oral language skills, phonological awareness, print awareness, and alphabet knowledge that will prepare them for later school success. Early Reading First offers an exciting opportunity to ensure that children are provided with high-quality preschool education.

The Congress appropriated approximately \$103 million for Early Reading First for fiscal year (FY) 2006, of which approximately \$102,000,000 is available for these grants. We will award the grants on a competitive basis for a project period of up to 3 years. We estimate that we will make between 23 and 68 grant awards, ranging between \$1,500,000 and \$4,500,000 for a three-year period, with the average size of award being \$3,000,000.

The Department requires applicants to use an Internet-based electronic system for submitting applications. We are requiring that applications for FY 2006 grants under the Early Reading First Program be submitted electronically using Grants.gov. *You are urged to acquaint yourself with the requirements of Grants.gov early. Grants.gov is accessible through its portal page at: <<http://www.grants.gov>>.* In addition, please refer to the notice inviting applications that follows for detailed information about the application and submission process, exceptions to the electronic submission requirements, and for a contact name and number, and call or send an e-mail inquiry if you have any questions about these grants or preparation of your application.

If you would like to learn more about the Early Reading First grantees in previous years, please visit the program's website at <http://www.ed.gov/programs/earlyreading>. We look forward to receiving your application and appreciate your efforts to meet the early literacy needs of our nation's children through this program.



Invitational Priorities. For the FY 2006 competition, the Secretary has established three invitational priorities. Applications that address these invitational priorities do not receive a competitive or absolute preference over other applications. Under the first invitational priority, the Secretary is especially interested in proposals that would use Early Reading First funds to support preschool programs that operate full-time, full-year early childhood educational programs, at a minimum of 6.5 hours per day, 5 days per week, 46 weeks per year, and that serve children for the two consecutive years prior to their entry into kindergarten. This priority responds to the research that demonstrates that children who spend more time in high-quality early childhood education programs learn more than children who spend less time in such programs. Early Reading First funds can be used to meet this invitational priority.

The Secretary is also especially interested in projects in which, in all preschool centers supported by the Early Reading First funds, at least 75 percent of the children enrolled in the preschool qualify to receive free or reduced priced lunches; or at least 75 percent of the children enrolled in the elementary school in the school attendance area in which that preschool center is located qualify to receive free or reduced priced lunches. This second invitational priority is established to increase the likelihood that preschool programs supported with Early Reading First funds serve children primarily from low-income families.

The third invitational priority is for applicants serving children with limited English proficiency (LEP). The Secretary is especially interested in those applicants including a specific plan for the development of English language proficiency for these children from the start of their preschool experience. Among other components explained in the invitational priority, the Secretary encourages applicants to include in these plans intensive professional development for instructors and paraprofessionals on the development of English language proficiency. The Early Reading First program is designed to prepare children to enter kindergarten with the necessary cognitive, early language, and literacy skills for success in school. That success, in turn, often is dependent on each child entering kindergarten being as proficient as possible in English so that the child can best benefit from the formal reading instruction in English when the child starts school.

Competitive Preference Priority. As in previous years, the FY 2006 Early Reading First competition also includes a competitive preference priority for novice applicants. Under this priority, entities that qualify as novice applicants receive additional points in the competition.

Performance Measures. Under the Government Performance and Results Act (GPRA), each Federal agency and program sets targets for its performance, measures progress toward those targets, reports on whether or not the targets have been met, and describes future strategies for continued striving toward those targets. This process is designed to improve program management, and to help Congress, the Department of Education, the Office of Management and Budget, and others review a program's progress toward its goals. The Secretary has established the following two GPRA measures for evaluating the overall effectiveness of the Early Reading First program:

1. The percentage of preschool-age children participating in Early Reading First programs who achieve significant gains on oral language skills as measured by the Peabody Picture Vocabulary Test-III, Receptive; and
2. The average number of letters that preschool-age children are able to identify as measured by the Upper Case Alphabet Knowledge subtask on the PALS Pre-K assessment.

The Secretary expects all grantees to document their success in addressing these performance measures in the required annual performance report.

For further information concerning this program, eligibility for this program, or the application process, please visit our website <http://www.ed.gov/programs/earlyreading/index.html>. As noted above, applications for FY 2006 must be submitted electronically through the Grants.gov system, unless an applicant qualifies under an exception explained in the *Federal Register* application notice, which is set forth in Section C of this application package. This electronic system is somewhat different than the electronic system used for previous years' applications, and requires specific registration steps that may take a number of business days to complete. **We encourage you to begin the registration process promptly, and to complete ALL required registration steps and submit your pre-application well before the pre-application closing date.**

The Department of Education anticipates announcing FY 2006 Early Reading First grant awards no later than September 30, 2006. If you have a specific question, please contact the Early Reading First program staff: Jill Stewart, e-mail at [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov) or by telephone at (202) 260-2533; or Rebecca Haynes, e-mail at [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov), or by telephone at (202) 260-0968.

Again, thank you for your interest and for your commitment to improving early education programs for our at-risk children.

Sincerely,

Jacquelyn C. Jackson, Ed.D.  
Director  
Student Achievement and  
School Accountability Programs

Section B:

EARLY READING FIRST  
PROGRAM OVERVIEW



**THE CHALLENGE:  
TO PROVIDE HIGH-QUALITY EARLY CHILDHOOD EDUCATION  
PROGRAMS FOR AT-RISK PRESCHOOL-AGE CHILDREN TO  
PREVENT LATER READING DIFFICULTIES  
AND ENSURE READING SUCCESS**

Many children in our country do not have access to high-quality preschool services; this is particularly true of children living in poverty. Studies show that a high percentage of children from low-income families attend preschool programs that may successfully address other developmental domains, but that often fail to provide the language, cognitive, and early reading instruction and activities needed to support school readiness. These children are more likely to be enrolled in preschool programs that have high annual staff turnover, have less access to research-based materials and resources in language, cognitive, and reading development, and have less professional development in those areas.

Prevention of academic difficulties has been shown to be more effective than later remediation. The data are very clear about what happens to children who start school behind, particularly in their development of language, cognitive, and early reading skills. They stay behind. Juel (1988) found that 87 percent of children who were poor readers at the end of the first grade remained poor readers at the end of fourth grade. However, we have found that we can reduce this failure significantly with appropriate scientifically based early intervention in preschool, kindergarten and first and second grade (see Ramey & Campbell, 1991). Furthermore, follow-up studies confirmed that the earlier significant academic advantage associated with high-quality preschool services persisted through ten years in school (Ramey & Campbell, 1994, 1995).

The research of the last several years is compelling about the kinds of skills young children must have to become successful readers. These skills include *oral language* (expressive and receptive language, including vocabulary development), *phonological awareness* (rhyming, blending, segmenting), *awareness of the conventions of print*, and *alphabet knowledge* (letter recognition). Reading is a learned skill, not a biological awakening. Therefore, children need coherent, skill-based instruction in these areas during the years before entering kindergarten. Research shows that children who participate in high-quality preschool programs benefit during those early years, upon kindergarten entry, and for years to come. These children have higher reading and math scores, less grade retention, better social skills, fewer teen pregnancies, and less participation in welfare programs (see Reynolds, 2000; Schweinhart & Weikart, 1980).

The ultimate goal of Early Reading First is to prevent later reading difficulties. The program is designed to prepare children to enter kindergarten with the necessary cognitive, early language and literacy skills for success in school. Preschool classroom environments will be rich in age-appropriate print. Preschool teachers will deliver intentional and explicit instruction based upon scientific research, and will conduct ongoing screening assessments to determine what skills children are learning and to identify children who may be at risk for reading failure. Preschool staff will be provided with continuous and ongoing professional development that includes mentoring and coaching in the classroom. Through these research-based strategies, Early Reading First provides a unique opportunity to make dramatic improvements in how we teach our preschool-age children and prepare them for future reading and school success.

## **MEETING THE CHALLENGE: THE EARLY READING FIRST PROGRAM**

The Early Reading First program brings a unique and bold approach to improving preschool programs for our nation's at-risk children, including children with disabilities and limited English proficiency. Early Reading First provides funding and support to turn preschool programs into preschool centers of educational excellence by improving instruction and classroom environments through scientific research-based practices in language, cognition and early reading. Many of America's children face daunting challenges as they enter kindergarten lacking the necessary skills to learn how to read. Early Reading First offers an exciting opportunity to be part of the President's early childhood initiative, *Good Start, Grow Smart*, and begin to meet this challenge by helping to ensure that children are provided with high-quality preschool education.

Specifically, Early Reading First grants will provide funds to:

- support local efforts to enhance the early language, cognitive, and early reading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research;
- provide preschool-age children with cognitive learning opportunities in high-quality language and print-rich environments so that they can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond;
- use language and literacy activities based on scientifically based reading research to support the age-appropriate development of:
  - oral language (vocabulary development, expressive language, and listening comprehension)
  - phonological awareness (rhyming, blending, segmenting)
  - print awareness
  - alphabet knowledge (letter recognition);
- use screening assessments or other appropriate measures to identify preschool-age children who may be at risk for reading failure, and to determine whether those children are developing the language, cognitive, and early reading skills they need for later reading success; and
- integrate instructional materials and programs based on scientifically based reading research into existing preschool programs.

## PROGRAM OVERVIEW

The ultimate goal of the Early Reading First program is to improve the school readiness of our nation's young children, especially those from low-income families, by providing support for early childhood education programs serving preschool-age children so they may become centers of educational excellence. This goal supports the President's early childhood initiative, *Good Start, Grow Smart*, to improve early childhood education and strengthen early learning for young children.

Through multi-year awards to highly committed eligible local educational agencies (LEAs) with at-risk children, and public and private organizations (including faith based organizations) located in communities served by those eligible LEAs, the Early Reading First program is intended to ensure that preschool-age children have the instruction, experiences, and environment that they need to enter kindergarten prepared for continued learning.

### What Projects Must Do

All Early Reading First projects must provide the following activities:

1. **Classroom environment** — Provide preschool-age children with **high-quality oral language and print-rich environments** in which to acquire oral language skills, phonological awareness, print awareness, and alphabet knowledge. Applicants particularly serve primarily children from low-income families, including meeting the diverse needs of children with limited English proficiency or who have special needs, with accommodations as appropriate for children with disabilities.
2. **Professional development** — Provide **professional development** for staff that is based on scientifically based reading research knowledge of language, cognitive, and early reading development that will assist in developing the preschool-age children's—
  - oral language (expressive and receptive language, including vocabulary development);
  - phonological awareness (rhyming, blending, segmenting);
  - print awareness; and
  - alphabet knowledge (letter recognition).
3. **Services and instructional materials** — Identify and **provide activities and instructional materials** that are based on scientifically based reading research for use in developing language, cognitive, and early reading skills.
3. **Screening assessments** — Acquire, provide training in the use of, and implement **screening reading assessments** or other appropriate measures that are based on scientifically based reading research to determine whether preschool-age children are developing the language, cognitive, and early reading skills they need for later reading success.

4. **Integration** — Integrate those instructional materials, activities, tools, and measures into the applicant’s overall program(s).

You can find more information about these activities, and research-based approaches and strategies for them, in the Early Reading First program guidance, Question B-2.



The Early Reading First program Guidance is available on the Department of Education’s website at: <http://www.ed.gov/programs/earlyreading/legislation.html>.



Early Reading First projects also must do the following:

5. **Coordinate with Reading First** — If they are located in a school district that receives a subgrant under the Reading First program, coordinate their Early Reading First activities with the school district’s Reading First activities to ensure continuity for children between the pre-kindergarten program and kindergarten through grade three reading instruction.
6. **Report Annually** — Submit to the Department of Education annual performance reports using the ED Form 524B Grant Performance Report, available at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. All grantees are expected to document their success in addressing the GPRA performance measures for the Early Reading First program in the annual performance report:
  1. The percentage of preschool-age children participating in Early Reading First programs who achieve significant gains on oral language skills as measured by the Peabody Picture Vocabulary Test-III, Receptive; and
  2. The average number of letters that preschool-age children are able to identify as measured by the Upper Case Alphabet Knowledge subtask on the PALS Pre-K assessment.

and describe, at a minimum:

- The research-based instruction, materials, and activities being used in the preschool programs supported with Early Reading First funds;
- The types of preschool programs supported with Early Reading First funds, and the number and ages of children served by those programs;
- The number and qualifications of the program staff who provide language, cognitive, and early reading instruction under those preschool programs and the type of ongoing professional development provided to that staff; and
- The results of the grantee’s evaluation of the success of the activities supported with Early Reading First funds in enhancing the language, cognitive, and early reading development of the preschool-age children served by the project.



7. **Cooperate with any Evaluation** — Participate fully in any evaluation of the Early Reading First program carried out by the Department of Education.



The Secretary encourages applicants to propose comprehensive approaches in designing their Early Reading First programs to ensure that preschool-age children will possess the reading readiness skills they will need in school. For example, research shows that the following are important ingredients in young children's acquisition and retention of language, cognitive, and early reading skills:

- **Intensity of services** — Studies show that there is a relationship between the intensity of services provided to children and the outcomes they demonstrate. Think about how to increase the *intensity* of the existing preschool education services that focus on language and cognitive development, in addition to increasing the quality of the instruction, early learning environment, and professional development.
- **Building Children's Background Knowledge and Thinking Skills** — The more children know about their world, the easier it is for them to read and learn when they get to school. Efforts to build children's vocabulary are more successful when children have engaging, challenging and exciting things about which to communicate. Think about how to weave content (for example, science, math, or geography) throughout your preschool program to enrich both children's language and early reading skills as well as their background knowledge.

<b>Who May Apply</b>
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Eligible applicants for Early Reading First grants are entities that meet one of the following criteria:

1. One or more local educational agencies (LEAs) that are eligible to receive a subgrant under the Reading First program (title I, part B, subpart 1, the Elementary and Secondary Education Act, as amended (ESEA)). A list of these eligible LEAs can be found at the Early Reading First website located at <http://www.ed.gov/programs/earlyreading/eligibility.html>.
2. One or more public or private organizations or agencies (including faith based organizations) located in a community served by an eligible LEA. Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool-age children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).
3. One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

## How The Application Process Will Work

General Award and Competition Information: Early Reading First is a national competitive grant program that is directly administered by the U.S. Department of Education (ED). ED will award grants based on the quality of the applications and regulatory criteria in section 75.217 of the Education Department General Administrative Regulations (EDGAR). The Congress appropriated approximately \$103 million for Early Reading First for fiscal year (FY) 2006, of which approximately \$1.3 million is available for these grants. We will award the grants on a competitive basis for a project period of up to three years. We estimate that we will make between 23 and 68 grant awards, ranging between \$1,500,000 and \$4,500,000 for a three-year period, with the average size of award being \$3,000,000. ED expects to award grants in August 2006, but in any event by September 30, 2006.

The Secretary has established three invitational priorities for the FY 2006 Early Reading First program. (1) The Secretary is especially interested in proposals that would use Early Reading First funds to support preschool programs that operate full-time, full-year early childhood educational programs, at a minimum of 6.5 hours per day, 5 days per week, 46 weeks per year, and that serve children for the two consecutive years prior to their entry into kindergarten. Early Reading First funds may be used to meet this invitational priority. (2) The Secretary also is especially interested in projects in which, in all preschool centers supported by the Early Reading First funds, at least 75 percent of the children enrolled in the preschool qualify to receive free or reduced priced lunches; or at least 75 percent of the children enrolled in the elementary school in the school attendance area in which that center is located qualify to receive free or reduced priced lunches. (3) In addition, the Secretary is especially interested in applicants that serve children with limited English proficiency (LEP) including a specific plan for the development of English language proficiency for such children from the start of their Early Reading First preschool experience. Among other components explained in the invitational priority, the plans should include intensive professional development for instructors and paraprofessionals on the development of English language proficiency. Applications that meet any or all of these invitational priorities do not receive any absolute or competitive preference.

In addition, a competitive preference priority applies to this competition, under which ED will award an additional five points to a pre-application and an additional five points to a full application from any applicant that qualifies as a “novice applicant.”

Early Reading First is subject to the Government Performance and Results Act (GPRA). The GPRA requires each agency and program to set targets for its performance; measure progress toward those targets; report on whether or not the targets have been met; and describe future strategies for continued striving toward those targets. This process is designed to improve program management, and to help Congress, the Department of Education, the Office of Management and Budget, and others review a program’s progress toward its goals. Under the GPRA, the Secretary has established the following two measures for evaluating the overall effectiveness of the Early Reading First program:

1. The percentage of preschool-age children participating in Early Reading First programs who achieve significant gains on oral language skills as measured by the Peabody Picture Vocabulary Test-III, Receptive; and
2. The average number of letters that preschool-age children are able to identify as measured by the Upper Case Alphabet Knowledge subtask on the PALS Pre-K assessment.

The Secretary expects all grantees to document their success in addressing these performance measures in the required annual performance report.

Application Process. The grant competition will include a pre-application and full application. All applicants will submit a pre-application that includes up to ten double-spaced pages addressing a single selection criterion, Quality of Project Design.

The specific requirements for the pre-application, the selection criterion for the pre-application, and the pre-application competitive preference priority, are described later in this application package under the “Pre-Application” section, beginning on page D-1. ED, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each pre-application on the pre-application selection criterion and will determine whether each pre-application qualifies for additional points under the pre-application competitive preference priority included in the *Federal Register* application notice (set forth in Section C of this application package). In determining which applicants to invite to submit full applications, ED will consider the rank order of pre-applications as determined by the total score of the pre-application based on the selection criterion and the awarding of competitive priority points, if any.

Only those eligible full applications submitted by successful pre-applicants will be considered for funding. The specific requirements and process for the full application are described later in this application package under the “Full Application” section, beginning on page E-1. ED, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each full application on the full application selection criteria and will determine whether each full application qualifies for additional points under the full application competitive preference priority included in the *Federal Register* application notice (set forth in Section C of this application package). ED will select applicants for funding based on the quality of the full applications including their rank order as determined by the total score of the full application based on the selection criteria and the awarding of competitive priority points, if any. In making funding decisions, ED will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. ED anticipates making final awards no later than September 30, 2006.

Section C:

FEDERAL REGISTER NOTICE  
AND RELEVANT STATUTORY AND  
REGULATORY PROVISIONS

**NOTICE:** The date listed for Transmittal of Pre-Applications (February 20, 2006) in the original notice inviting applications, published on January 18, 2006 (71 FR 2916), falls on a Federal holiday. Therefore, the Department will be publishing a notice in the *Federal Register* correcting the date for Transmittal of Pre-Applications to:

**FEBRUARY 21, 2006.**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Early Reading First Program

Notice inviting applications for new awards for fiscal year (FY) 2006.

Catalog of Federal Domestic Assistance (CFDA) Number:  
84.359A/B

Dates:

Applications Available: January 20, 2006.

Deadline for Transmittal of Pre-Applications: February 20, 2006. (will be corrected to February 21, 2006)

Deadline for Transmittal of Full Applications: May 8, 2006.

Deadline for Intergovernmental Review: July 7, 2006.

Eligible Applicants: Under this competition, eligible applicants are (a) one or more local educational agencies (LEAs) that are eligible to receive a subgrant under the Reading First program (title I, part B, subpart 1 of the Elementary and Secondary Education Act of 1965, as amended (ESEA)); (b) one or more public or private organizations or agencies (including faith-based organizations) located in a community served by an eligible LEA; or (c) one or more eligible LEAs, applying in collaboration with one or more eligible organizations or agencies. To qualify under paragraph (b) of this definition, the organization's or agency's application must be on behalf of one or more programs that serve preschool-age children (such as a Head Start program, a child care program, or a family literacy program such as Even Start, or a lab school at a university), unless the organization or agency itself operates a preschool program.

Estimated Available Funds: \$102,087,000.

Estimated Range of Awards: \$1,500,000-\$4,500,000.

Estimated Average Size of Awards: \$3,000,000.

Estimated Number of Awards: 23-68.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program supports local efforts to enhance the oral language, cognitive, and early reading skills of preschool-age children, especially those from low-income families, through strategies, materials, and professional development that are grounded in scientifically based reading research.

The specific activities for which recipients must use grant funds are identified in the program statute, which is included in the application package.

Priorities: This competition includes three invitational priorities and one competitive preference priority that are as follows.

Under this competition, we are particularly interested in applications that address the following invitational priorities.

Invitational Priorities: For FY 2006 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1--Intensity

The Secretary is especially interested in preschool programs that operate full-time, full-year early childhood educational programs, at a minimum of 6.5 hours per day, 5 days per week, 46 weeks per year, and that serve children for the two consecutive years prior to their entry into kindergarten.

Scientifically based research on increasing the effectiveness of early childhood education programs serving children from low-income families tells us that children attending programs that have a greater intensity of service make higher and more persistent gains in the language and cognitive domains than children who attend early childhood programs that have lesser intensity of service. In other words, children who spend more time in high-quality early childhood education programs learn more than children who spend less time in those programs. The purpose of Invitational Priority 1 is to encourage preschool programs supported with Early Reading First funds to provide services that are of a sufficient duration and intensity to maximize language and early literacy gains for children enrolled in those programs.

Invitational Priority 2--Children From Low-Income Families

The Secretary is especially interested in projects in which, in all preschool centers supported by the Early Reading First funds, at least 75 percent of the children enrolled in the preschool qualify to receive free or reduced priced lunches or at least 75 percent of the children enrolled in the elementary school in the school attendance area in which that center is located qualify to receive free or reduced priced lunches.

One of the statutory purposes of the Early Reading First program is to enhance the early language, literacy, and early reading development of preschool-age children, particularly those from low-income families. This invitational priority is intended to increase the likelihood that preschool programs supported with Early Reading First funds serve children primarily from low-income families.

Invitational Priority 3--English Language Acquisition Plan

The Secretary is especially interested, for applicants serving children with limited English proficiency, in applications that include a specific plan for the development of English language proficiency for these children from the start of their preschool experience. The Early Reading First program is designed to prepare children to enter kindergarten with the necessary cognitive, early language, and literacy skills for success in school. School success often is dependent on each child entering kindergarten being as proficient as possible in English so that the child is ready to benefit from formal reading instruction in English when the child starts school.

The English language acquisition plan should, at a minimum:

- (1) include a description of the approach for the development of language, based on the linguistic factors or skills that serve as the foundation for a strong language base, which is a necessary precursor for success in the development of pre-literacy and literacy skills for children with limited English proficiency;
- (2) explain the instructional strategies, based on best available valid and reliable research, that the applicant will use to address English language acquisition in a multi-lingual classroom;
- (3) describe how the project will facilitate the children's transition to English proficiency by means such as the use of environmental print in appropriate multiple languages and hiring bilingual teachers, paraprofessionals, or translators to work in the preschool classroom;
- (4) include intensive professional development for instructors and paraprofessionals on the development of English language proficiency; and
- (5) include a timeline that describes benchmarks for the introduction of the development of English language proficiency and the use of measurement tools.

Ideally, at least one instructional staff member in each Early Reading First classroom should be dual-language proficient both in a child's first language and in English to facilitate the child's understanding of instruction and transition to English proficiency. At a minimum, each



classroom should include a teacher who is proficient in English.

Competitive Preference Priority: In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from §75.225 of the Education Department General Administrative Regulations (EDGAR), which apply to this program (34 CFR 75.225).

Competitive Preference Priority--Novice Applicant

For FY 2006 this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i) we award an additional five (5) points to a pre-application and an additional five (5) points to a full application meeting this competitive preference priority.

This priority is:

Novice Applicant

The applicant must be a "novice applicant" as defined in 34 CFR 75.225.

Program Authority: 20 U.S.C. 6371-6376.

Applicable Regulations: EDGAR in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 as applicable.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grant.

Estimated Available Funds: \$102,087,000.

Estimated Range of Awards: \$1,500,000-\$4,500,000.

Estimated Average Size of Awards: \$3,000,000.

Estimated Number of Awards: 23-68.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

## III. ELIGIBILITY INFORMATION

1. Eligible Applicants: Under this competition, eligible applicants are (a) one or more LEAs that are eligible to receive a subgrant under the Reading First program (title I, part B, subpart 1, ESEA); (b) one or more public or private organizations or agencies (including faith-based organizations) located in a community served by an eligible LEA; or (c) one or more eligible LEAs, applying in collaboration with one or more eligible organizations or agencies. To qualify under paragraph (b) of this definition, the organization's or agency's application must be on behalf of one or more programs that serve preschool-age children (such as a Head Start program, a child care program, or a family literacy program such as Even Start, or a lab school at a university), unless the organization or agency itself operates a preschool program.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching.

IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain an application via the Internet, use the following web address:

[www.ed.gov/programs/earlyreading/applicant.html](http://www.ed.gov/programs/earlyreading/applicant.html)

To obtain a copy from ED Pubs, write or call Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:

[www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application package from ED Pubs, be sure to identify this competition as follows: CFDA number 84.359A/B.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in section VII of this notice.

2. Content and Form of Application Submission:

Requirements concerning the content of the pre-application and the full application, together with the forms you must submit, are in the application package for this competition. All applicants must apply in the pre-application phase; applicants must be invited to submit a full application.

Page Limits: The pre-application narrative and the full application narrative for this program (Part II of the pre- and full applications) are where you, the applicant, address the selection criteria that reviewers use to evaluate your pre- and full applications. You must limit Part II of the pre-application to the equivalent of no more than ten (10) pages and Part II of the full application to the equivalent of no more than thirty-five (35) pages.

Part III of the pre-application is where you, the applicant, provide the Appendices. Pre-application Appendices are limited to the following: a list and a brief description of the existing preschool programs that the proposed Early Reading First project would support; a language acquisition plan, if applicable; and endnote citations for research cited specifically in the pre-application narrative. You must limit the list and the

brief description of the existing preschool programs to the equivalent of no more than five (5) pages. You must limit any English language acquisition plan to the equivalent of no more than two (2) pages for the pre-application. No page limit applies to the pre-application endnote citations.

Part III of the full application is where you, the applicant, provide a budget narrative that reviewers use to evaluate your full application. You must limit the budget narrative in Part III of the full application to the equivalent of no more than five (5) pages.

Part IV of the full application is where you, the applicant, provide the Appendices. Full application Appendices are limited to the following: a list and a brief description of the existing preschool programs that the proposed Early Reading First project would support; an English language acquisition plan, if applicable; position descriptions (and resumes or curriculum vitae if available) for up to five (5) key personnel; endnote citations for research cited specifically in the full application narrative; and documentation demonstrating the stakeholder support for the project. You must limit the list and the brief description of the existing preschool programs to the equivalent of no more than five (5) pages. You must limit each resume or curriculum vitae to the equivalent of no more than three (3) pages each, and limit the documentation demonstrating stakeholder support for the project to the equivalent of no more than five (5) pages. You must limit any English language acquisition plan to the equivalent of no more than five (5) pages for the full application.

For all page limits, use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application and budget narratives, including titles, headings, footnotes, quotations, references, and captions included in the body of the narrative.
- Text in endnotes, charts, tables, figures, and graphs may be single-spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch), including text in endnotes, charts, tables, figures, and graphs.

For the full application, the page limits do not apply to the budget form (ED Form 524) in Part III, or to the assurances and certifications, position descriptions, and endnotes in Part IV.

Our reviewers will not read any pages of your pre-application or full application that--

- Exceed the page limit if you apply these standards;
- or
- Exceed the equivalent of the page limit if you apply other standards.

3. Submission Dates and Times:

Applications Available: January 20, 2006.

Deadline for Transmittal of Pre-Applications: February 20, 2006. (will be corrected to February 21, 2006)

Deadline for Transmittal of Full Applications: May 8, 2006.

Pre- and full applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Deadline for Intergovernmental Review: July 7, 2006.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Pre- and full applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Pre- and full applications for grants under the Early Reading First program-CFDA Number 84.359A (pre-application) and CFDA Number 84.359B (full application) must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov> Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your pre- or full application. You may not e-mail an electronic copy of a grant application to us.

We will reject your pre- or full application if you submit it in paper format unless, as described elsewhere in

this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the pre- or full application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the pre- or full application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Early Reading First program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your pre- and full applications must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the pre- or full application deadline date. Except as otherwise noted in this section, we will not consider your pre- or full application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the pre- or full application deadline date. When we retrieve your pre- or full application from Grants.gov, we will notify you if we are rejecting your pre- or full application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the pre- or full application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the pre- or full application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your pre- and any full application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your pre- or full application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your pre- and full applications the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit a pre- or full application via Grants.gov.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your pre- and full applications as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

- Your electronic pre- and full applications must comply with any page limit requirements described in this notice.

- After you electronically submit your pre- or full application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your pre- or full application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your pre- or full application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are prevented from electronically submitting your pre- or full application on the pre- or full application deadline dates because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your pre- or full application electronically, or by hand delivery. You also may mail your pre- and full applications by following the mailing instructions as described elsewhere in this notice. If you submit a pre- or full application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your pre- or full application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your pre- or full application by 4:30 p.m., Washington, DC time, on the pre- or full application deadline date. The Department will contact you after a determination is made on whether your pre- or full application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your pre- or full application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your pre- or full application in paper format, if you are unable to submit a pre- or full application through the Grants.gov system because--

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the Grants.gov system;
- and
- No later than two weeks before the pre- or full application deadline date (14 calendar days or, if the fourteenth calendar day before the pre- or full application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the

Internet to submit your pre- or full application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the pre- or full application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the pre- or full application deadline date.

Address and mail or fax your statement to: Jill Stewart, U.S. Department of Education, 400 Maryland Avenue, SW., room 3C136, Washington, DC 20202-6132. Telephone: (202) 260-2533; FAX number (202) 260-7764 or Rebecca Haynes, U.S. Department of Education, 400 Maryland Avenue, SW., room 3C138, Washington, DC 20202-6132. Telephone: (202) 260-0968; FAX number (202) 260-7764.

Your paper pre- or full application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier), your pre- or full application to the Department. You must mail the original and two copies of your pre- or full application, on or before the pre- or full application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.359A/B)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.



If you mail your pre- or full application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S.

Postal Service.

If your pre- or full application is postmarked after the pre- or full application deadline date, we will not consider your pre- or full application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper pre- or full application to the Department by hand. You must deliver the original and two copies of your pre- or full application by hand, on or before the pre- or full application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your pre- or full application to the Department:

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your pre- or full application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the pre- or full application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: This program has separate selection criteria for pre-applications and full applications.

A. Pre-applications: The following selection criterion for pre-applications is from 34 CFR 75.210 of EDGAR. Additional information about this selection criterion is in the application package. The maximum score for the pre-application selection criterion is 100 points.

(i) Quality of the project design (0-100 points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(a) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

(b) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))

(c) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))

B. Full Application: The following selection criteria for full applications are from §75.210 of EDGAR (34 C.F.R. 75.210). Additional information about each of these selection criteria is in the application package. The maximum score for each criterion is indicated after the title of the criterion. The maximum score for the full application selection criteria is 100 points.

(i) Quality of the project design (0-60 points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(a) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

(b) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))

(c) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))

(ii) Quality of project personnel (0-10 points)

The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that

have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1), (2))

In addition, the Secretary considers the following factors:

(a) The qualifications, including relevant training and experience, of the project director or principal investigator. (34 CFR 75.210(e)(3)(i))

(b) The qualifications, including relevant training and experience, of key project personnel. (34 CFR 75.210(e)(3)(ii))

(c) The qualifications, including relevant training and experience, of project consultants or subcontractors. (34 CFR 75.210(e)(3)(iii))

(iii) Adequacy of resources (0-5 points)

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(a) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. (34 CFR 75.210(f)(2)(ii))

(b) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))

(iv) Quality of the management plan (0-15 points)

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

(b) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (34 CFR 75.210(g)(2)(ii))

(c) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210(g)(2)(iv))

(v) Quality of the project evaluation (0-10 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the

quality of the evaluation, the Secretary considers the following factors:

(a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (34 CFR 75.210(h)(2)(i))

(b) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (34 CFR 75.210(h)(2)(iv))

#### VI. Award Administration Information

1. Award Notices: If your pre-application is successful, we notify you in writing and post the list of successful applicants on the Early Reading First Web site at [www.ed.gov/programs/earlyreading/awards.html](http://www.ed.gov/programs/earlyreading/awards.html). If your full application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your pre-application is not evaluated, or following the submission of your pre-application you are not invited to submit a full application, we notify you. If your full application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. Early Reading First grantees also are required to meet the annual reporting requirements outlined in section 1225 of the ESEA. For specific requirements on grantee reporting, please go to: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the Secretary has

established the following two measures for evaluating the overall effectiveness of the Early Reading First program: (1) the percentage of preschool-age children participating in Early Reading First programs who achieve significant gains on oral language skills as measured by the Peabody Picture Vocabulary Test-III, Receptive; and (2) the average number of letters that preschool-age children are able to identify as measured by the Upper Case Alphabet Knowledge subtask on the PALS Pre-K assessment.

We will expect all grantees to document their success in addressing these performance measures in the annual performance report described in section VI.3. of this notice.

#### VII. Agency Contact

For Further Information Contact: Jill Stewart, U.S. Department of Education, 400 Maryland Avenue, SW., room 3C136, Washington, DC 20202-6132. Telephone: (202) 260-2533 or by e-mail: [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov) or Rebecca Haynes, U.S. Department of Education, 400 Maryland Avenue, SW., room 3C138, Washington, DC 20202-6132. Telephone: (202) 260-0968 or by e-mail: [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

#### VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and

the Code of Federal Regulations is available on GPO Access  
at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)  
Dated:

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Henry L. Johnson,  
Assistant Secretary for  
Elementary and Secondary  
Education.

AUTHORIZING STATUTORY LANGUAGE

EARLY READING FIRST  
SUBPART 2 OF PART B OF TITLE I  
OF THE ELEMENTARY AND SECONDARY EDUCATION ACT

SEC. 1221. PURPOSES; DEFINITIONS

(a) PURPOSES- The purposes of this subpart are as follows:

(1) To support local efforts to enhance the early language, literacy, and prereading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research.

(2) To provide preschool-age children with cognitive learning opportunities in high-quality language and literature-rich environments, so that the children can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond.

(3) To demonstrate language and literacy activities based on scientifically based reading research that supports the age-appropriate development of —

(A) recognition, leading to automatic recognition, of letters of the alphabet;

(B) knowledge of letter sounds, the blending of sounds, and the use of increasingly complex vocabulary;

(C) an understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;

(D) spoken language, including vocabulary and oral comprehension abilities; and

(E) knowledge of the purposes and conventions of print.

(4) To use screening assessments to effectively identify preschool-age children who may be at risk for reading failure.

(5) To integrate such scientific reading research-based instructional materials and literacy activities with existing programs of preschools, child care agencies and programs, Head Start centers, and family literacy services.

(b) DEFINITIONS- For purposes of this subpart:

(1) ELIGIBLE APPLICANT- The term eligible applicant' means —

(A) one or more local educational agencies that are eligible to receive a subgrant under subpart 1;

(B) one or more public or private organizations or agencies, acting on behalf of one or more programs that serve preschool-age children (such as a program at a Head Start center, a child care program, or a family literacy program), which organizations or agencies shall be located in a community served by a local educational agency described in subparagraph (A); or

(C) one or more local educational agencies described in subparagraph (A) in collaboration with one or more organizations or agencies described in subparagraph (B).

(2) SCIENTIFICALLY BASED READING RESEARCH- The term scientifically based reading research' has the same meaning given to that term in section 1208.

(3) SCREENING READING ASSESSMENT- The term screening reading assessment' has the same meaning given to that term in section 1208.

## SEC. 1222. LOCAL EARLY READING FIRST GRANTS.

(a) PROGRAM AUTHORIZED- From amounts appropriated under section 1002(b)(2), the Secretary shall award grants, on a competitive basis, for periods of not more than 6 years, to eligible applicants to enable the eligible applicants to carry out the authorized activities described in subsection (d).

(b) APPLICATIONS- An eligible applicant that desires to receive a grant under this section shall submit an application to the Secretary, which shall include a description of —

(1) the programs to be served by the proposed project, including demographic and socioeconomic information on the preschool-age children enrolled in the programs;

(2) how the proposed project will enhance the school readiness of preschool-age children in high-quality oral language and literature-rich environments;

(3) how the proposed project will prepare and provide ongoing assistance to staff in the programs, through professional development and other support, to provide high-quality language, literacy, and prereading activities using scientifically based reading research, for preschool-age children;

(4) how the proposed project will provide services and use instructional materials that are based on scientifically based reading research on early language acquisition, prereading activities, and the development of spoken vocabulary skills;

(5) how the proposed project will help staff in the programs to meet more effectively the diverse needs of preschool-age children in the community, including such children with limited English proficiency, disabilities, or other special needs;

(6) how the proposed project will integrate such instructional materials and literacy activities with existing preschool programs and family literacy services;

(7) how the proposed project will help children, particularly children experiencing difficulty with spoken language, prereading, and early reading skills, to make the transition from preschool to formal classroom instruction in school;

(8) if the eligible applicant has received a subgrant under subpart 1, how the activities conducted under this subpart will be coordinated with the eligible applicant's activities under subpart 1 at the kindergarten through grade 3 level;

(9) how the proposed project will evaluate the success of the activities supported under this subpart in enhancing the early language, literacy, and prereading development of preschool-age children served by the project; and

(10) such other information as the Secretary may require.

(c) APPROVAL OF LOCAL APPLICATIONS- The Secretary shall select applicants for funding under this subpart based on the quality of the applications and the recommendations of a peer review panel convened under section 1203(c)(2), that includes, at a minimum, three individuals, selected from the entities described in clauses (ii), (iii), and (iv) of section 1203(c)(2)(A), who are experts in early reading development and early childhood development.

(d) AUTHORIZED ACTIVITIES- An eligible applicant that receives a grant under this subpart shall use the funds provided under the grant to carry out the following activities:

(1) Providing preschool-age children with high-quality oral language and literature-rich environments in which to acquire language and prereading skills.

(2) Providing professional development that is based on scientifically based reading research knowledge of early language and reading development for the staff



of the eligible applicant and that will assist in developing the preschool-age children's

-

(A) recognition, leading to automatic recognition, of letters of the alphabet, knowledge of letters, sounds, blending of letter sounds, and increasingly complex vocabulary;

(B) understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;

(C) spoken language, including vocabulary and oral comprehension abilities; and

(D) knowledge of the purposes and conventions of print.

(3) Identifying and providing activities and instructional materials that are based on scientifically based reading research for use in developing the skills and abilities described in paragraph (2).

(4) Acquiring, providing training for, and implementing screening reading assessments or other appropriate measures that are based on scientifically based reading research to determine whether preschool-age children are developing the skills described in this subsection.

(5) Integrating such instructional materials, activities, tools, and measures into the programs offered by the eligible applicant.

(e) AWARD AMOUNTS- The Secretary may establish a maximum award amount, or ranges of award amounts, for grants under this subpart.

## SEC. 1223. FEDERAL ADMINISTRATION.

The Secretary shall consult with the Secretary of Health and Human Services to coordinate the activities under this subpart with preschool-age programs administered by the Department of Health and Human Services.

## SEC. 1224. INFORMATION DISSEMINATION.

From the funds the National Institute for Literacy receives under section 1202(b)(1)(D), the National Institute for Literacy, in consultation with the Secretary, shall disseminate information regarding projects assisted under this subpart that have proven effective.

## SEC. 1225. REPORTING REQUIREMENTS.

Each eligible applicant receiving a grant under this subpart shall report annually to the Secretary regarding the eligible applicant's progress in addressing the purposes of this subpart. Such report shall include, at a minimum, a description of —

(1) the research-based instruction, materials, and activities being used in the programs funded under the grant;

(2) the types of programs funded under the grant and the ages of children served by such programs;

(3) the qualifications of the program staff who provide early literacy instruction under such programs and the type of ongoing professional development provided to such staff; and

(4) the results of the evaluation described in section 1222(b)(9).

## SEC. 1226. EVALUATION

(a) IN GENERAL- From the total amount made available under section 1002(b)(2) for the period beginning October 1, 2002, and ending September 30, 2006, the Secretary shall reserve not more than \$3,000,000 to conduct an independent evaluation of the effectiveness of this subpart.

(b) REPORTS-

(1) INTERIM REPORT- Not later than October 1, 2005, the Secretary shall submit an interim report to the Committee on Education and the Workforce of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.

(2) FINAL REPORT- Not later than September 30, 2006, the Secretary shall submit a final report to the committees described in paragraph (1).

(c) CONTENTS- The reports submitted under subsection (b) shall include information on the following:

(1) How the grant recipients under this subpart are improving the prereading skills of preschool children.

(2) The effectiveness of the professional development program assisted under this subpart.

(3) How early childhood teachers are being prepared with scientifically based reading research on early reading development.

(4) What activities and instructional practices are most effective.

(5) How prereading instructional materials and literacy activities based on scientifically based reading research are being integrated into preschools, child care agencies and programs, programs carried out under the Head Start Act, and family literacy programs.

(6) Any recommendations on strengthening or modifying this subpart.

## **OTHER RELEVANT STATUTORY DEFINITIONS**

### Section 1208. Definitions. (from Reading First, Subpart 1, Part B, Title I, ESEA)

(6) SCIENTIFICALLY BASED READING RESEARCH- The term 'scientifically based reading research' means research that —

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that —

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and

(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

\* \* \* \* \*

- (7)(B) SCREENING READING ASSESSMENT- The term screening reading assessment' means an assessment that is —
- (i) valid, reliable, and based on scientifically based reading research; and
  - (ii) a brief procedure designed as a first step in identifying children who may be at high risk for delayed development or academic failure and in need of further diagnosis of their need for special services or additional reading instruction.

\* \* \* \* \*

### Section 9101 Definitions (Title IX General Provisions, ESEA)

34) PROFESSIONAL DEVELOPMENT- The term `professional development'--

` (A) includes activities that--

- ` (i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
- ` (ii) are an integral part of broad schoolwide and districtwide educational improvement plans;
- ` (iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
- ` (iv) improve classroom management skills;
- ` (v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom; and
- ` (II) are not 1-day or short-term workshops or conferences;
- ` (vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
- ` (vii) advance teacher understanding of effective instructional strategies that are--
  - ` (I) based on scientifically based research (except that this subclause shall not apply to activities carried out under part D of title II); and
  - ` (II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and
- ` (viii) are aligned with and directly related to--
  - ` (I) State academic content standards, student academic achievement standards, and assessments; and
  - ` (II) the curricula and programs tied to the standards described in subclause (I) except that this subclause shall not apply to activities

described in clauses (ii) and (iii) of section 2123(3)(B);

` (ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;

` (x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

` (xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;

` (xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;

` (xiii) provide instruction in methods of teaching children with special needs;

` (xiv) include instruction in the use of data and assessments to inform and instruct classroom practice; and

` (xv) include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and

` (B) may include activities that--

` (i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;

` (ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and

` (iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.

(42) TEACHER MENTORING- The term teacher mentoring' means activities that —  
(A) consist of structured guidance and regular and ongoing support for teachers, especially beginning teachers, that —

- (i) are designed to help the teachers continue to improve their practice of teaching and to develop their instructional skills; and
- part of an ongoing developmental induction process —
  - (I) involve the assistance of an exemplary teacher and other appropriate individuals from a school, local educational agency, or institution of higher education; and
  - (II) may include coaching, classroom observation, team teaching, and reduced teaching loads; and
- (B) may include the establishment of a partnership by a local educational agency with an institution of higher education, another local educational agency, a teacher organization, or another organization.

## **RELEVANT REGULATORY PROVISIONS**

Novice Applicant (34 CFR section 75.225)

§75.225 What procedures does the Secretary use if the Secretary decides to give special consideration to novice applications?

- (a) . . . . "novice applicant" means--
  - (1) Any applicant for a grant from ED that--
    - (i) Has never received a grant or subgrant under the program from which it seeks funding;
    - (ii) Has never been a member of a group application, submitted in accordance with sections 75.127-75.129, that received a grant under the program from which it seeks funding; and
    - (iii) Has not had an active discretionary grant from the Federal Government in the five years before the deadline date for applications under the program
  - (2) In the case of a group application submitted in accordance with sections 75.127-75.129, a group that includes only parties that meet the requirements of paragraph (a)(1) of this section.
- (b) For the purposes of paragraph (a)(1)(iii) of this section, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.



## Section D:

# EARLY READING FIRST PROGRAM PRE-APPLICATION – PHASE 1

CFDA No. 84.359A

### The Pre-Application Process

Pre-Application Deadline

Instructions for Electronic Transmission of Pre-Application

### Pre-Application Selection Criterion and Priorities

Pre-Application Selection Criterion

Pre-Application Invitational Priorities

Pre-Application Competitive Preference Priority (Novice Applicant)

### Pre-Application Final Checklist

Pre-Application Forms (only for applicants qualifying for an exception to electronic submission; forms for electronic submission available at <http://www.grants.gov>)

**SF** Form 424 (Application For Federal Assistance — CFDA # 84.359A) (required for all applicants)

Pre-Application Form A - Applicant Eligibility (required for all applicants)

Survey for Ensuring Equal Opportunity for Applicants (if applicable)





## THE PRE-APPLICATION PROCESS

To encourage the development of strong proposals that will enhance preschool programs as centers of excellence and cognitive development for at-risk children, and to give applicants sufficient time to prepare competitive proposals for Early Reading First program funding, ED will use an initial pre-application process to determine which applicants will be considered for invitations to submit Early Reading First full applications for FY 2006. This initial phase is intended to allow potential applicants the opportunity to focus on: developing an exceptional approach to achieving the purposes of Early Reading First as outlined in the statute; choosing the scientifically-based reading research that will inform the project; and formulating a plan to make certain students have the foundational language, cognitive and early reading skills necessary to transition successfully into the LEA's Reading First program or, if one does not exist, a K-3 reading program grounded in scientifically based reading research..

In this first phase of the Early Reading First application process, peer reviewers will evaluate pre-applications on the pre-application selection criterion. Pre-applications will also be evaluated on the competitive preference priority and will be assigned the number of points indicated if they meet it. ED will prepare a rank order of the pre-applications as determined by the total score.

ED will select applicants to invite to submit a full application based on the quality of the pre-applications including their rank order as determined by the total score of the pre-application based on the selection criterion and the awarding of competitive priority points, if any. In making decisions regarding which pre-applicants to invite to submit full applications, ED will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217.

## PRE-APPLICATION DEADLINE

Pre-applications for grants under this program must be submitted electronically using the Grants.gov Apply site at <http://www.grants.gov>, unless the applicant qualifies for an exception to the electronic submission requirement explained in the *Federal Register* application notice (set forth in Section C of this application package) and complies with the requirements in that notice. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please see the *Federal Register* application notice and the section below on "Instructions for Electronic Transmission of Your Pre-Application." Through the Grants.gov Apply site, applicants will be able to download a copy of the application package, complete it offline, and then upload and submit the pre-application. **The deadline for electronic submission of Early Reading First program Pre-Applications is 4:30 p.m. (Washington, DC time), February 20, 2006 (will be corrected to February 21, 2006).** We do not consider an application that does not comply with the deadline requirements.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 4) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 5) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

**Note:** To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

- 6) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**  
(continued from previous page)

**Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site:  
<http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

**Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

**Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

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**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**  
(continued from previous page)

**MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge:  
[http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf),  
and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## INSTRUCTIONS FOR ELECTRONIC TRANSMISSION OF YOUR PRE-APPLICATION

Pre-applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in the *Federal Register* application notice and repeated below.

### Electronic Submission of Applications

Pre-applications for grants under the Early Reading First program (CFDA Number 84.359A) must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your pre-application. You may not e-mail an electronic copy of a grant application to us.

We will reject your pre-application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the pre-application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the pre-application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Early Reading First program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your pre-application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the pre-application deadline date. Except as otherwise noted in this section, we will not consider your pre-application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the pre-application deadline date. When we retrieve your pre-application from Grants.gov, we will notify you if we are rejecting your pre-application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the pre-application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the pre-application deadline date to begin the submission process through Grants.gov.

- You should review and follow the U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants for submitting an application through Grants.gov that are included in this section to ensure that you submit your pre-application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at:

<http://e-rants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your pre-application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.Grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your pre-application the same D-U-N-S Number used with this registration. **Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit a pre-application via Grants.gov.**

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (SF-424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your pre-application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

- Your electronic pre-applications must comply with any page limit requirements described in this notice.

- After you electronically submit your pre-application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your pre-application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your pre- or full application).

- We may request that you provide us original signatures on forms at a later date.

### Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:

If you are prevented from electronically submitting your pre-application on the pre-application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your pre-application electronically, or by hand delivery. You also may mail your pre-application by following the mailing instructions as described in the *Federal Register* application notice and repeated below. If you submit a pre-application after 4:30 p.m., Washington, DC time, on the deadline date, please contact one of the following persons, whose name and contact information are provided in the *Federal Register* application notice under “For Further Information Contact,” and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available):

Jill Stewart  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C136  
Washington, DC 20202-6132  
Telephone: (202) 260-2533  
E-mail: [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov)

OR

Rebecca Haynes  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C138  
Washington, DC 20202-6132  
Telephone: (202) 260-0968  
E-mail: [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov)

We will accept your pre-application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your pre-application by 4:30 p.m., Washington, DC time, on the pre-application deadline date. The Department will contact you after a determination is made on whether your pre-application will be accepted.

**Note:** Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your pre-application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

### Exception to Electronic Submission Requirement:

You qualify for an exception to the electronic submission requirement, and may submit your pre-application in paper format, if you are unable to submit a pre-application through the Grants.gov system because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system; and

- No later than two weeks before the pre-application deadline date (14 calendar days or, if the fourteenth calendar day before the pre-application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your pre-application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the pre-application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the pre-application deadline date.

Address and mail or fax your statement to:

Jill Stewart  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C136  
Washington, DC 20202-6132  
Telephone: (202) 260-2533  
FAX number (202) 260-7764

OR

Rebecca Haynes  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C138  
Washington, DC 20202-6132  
Telephone: (202) 260-0968  
FAX number (202) 260-7764

Your paper pre-application must be submitted in accordance with the mail or hand delivery instructions described in the *Federal Register* application notice, which are repeated below.



## Submission of Paper Applications by Mail

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier), your pre-application to the Department. You must mail the original and two copies of your pre-application, on or before the pre-application deadline date, to the Department at the applicable following address:

### By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

### By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.359A/B)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your pre-application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your pre-application is postmarked after the pre-application deadline date, we will not consider your pre-application.

**Note:** The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

## Submission of Paper Applications by Hand Delivery

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper pre-application to the Department by hand. You must deliver the original and two copies of your pre-application by hand, on or before the pre-application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your pre-application to the Department:

(1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your pre-application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the pre-application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## **THE PRE-APPLICATION**

Applicants must submit an Abstract - the equivalent of 1 double-spaced page; a Pre-Application Narrative - the equivalent of no more than an additional 10 double-spaced pages addressing the pre-application selection criterion; and the materials indicated in the Pre-Application Final Checklist located on page D-25.

### **PART I OF THE PRE-APPLICATION**

#### **APPLICATION FOR FEDERAL ASSISTANCE FORM (SF-424)**

Electronic Submission (SF-424): Applicants must complete and electronically submit Form SF-424 with their pre-application narrative, and the form entitled “Supplemental Information Required for Department of Education” available at <http://www.grants.gov>. Instructions for those forms are located at that website. (For electronic submissions, you must download the PureEdge forms SF-424 and “Supplemental Information Required for Department of Education” at [www.grants.gov](http://www.grants.gov) and complete them.) Please note: for the pre-application the “Estimated Funding” information is not required on this form.

Paper Format Submission (SF-424): Applicants that qualify for an exception to electronic submission and therefore are submitting their application in paper format must complete and submit SF Form 424. SF-424 and instructions are located on page D-31 and following pages of this application package.

Applicants that meet the **Pre-Application Competitive Priority – Novice Applicants** receive 5 points in the pre-application portion of this grant competition. To obtain these points, an applicant submitting an electronic application that qualifies as a novice applicant must check “Yes” in response to Question 2 on the form entitled “Supplemental Information Required for Department of Education Application,” accompanying the electronic Application for Federal Assistance Form (SF-424) that it submits with its pre-application. (An applicant that qualifies for an exception to electronic submission and that therefore is submitting its application in paper format, and that qualifies as a novice applicant, must check “Yes” in response to Question 6 on the Application for Federal Education Assistance Form SF-424 included in this application package that it files with its pre-application.) More information regarding the definition of a Novice Applicant can be found on page D-23.

**Abstract** (For electronic submissions, attach this document to the “ED Abstract Form” in the Grants.gov application package.)

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page.

Applicants may also include a title page and table of contents in Part I of their pre-application.

### **PART II OF THE PRE-APPLICATION**

**Pre-Application Narrative (required)** (For electronic submissions, attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.)

Peer reviewers will evaluate each pre-application on how well it responds to the pre-application selection criterion listed below. The maximum number of points that a pre-application may receive

on the pre-application selection criterion is 100. The 10-page pre-application narrative should respond to the pre-application selection criterion factors in the order in which they are listed.

Place the name of the applicant and the page number at the top of each page of the Full Application Narrative. Number each page consecutively with the first page of the narrative listed as page 1.

### **PART III OF THE PRE-APPLICATION**

**Appendices (required, except as indicated below or on the form) (For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)**

Include in the appendices the name(s) and address(es) of the preschool program(s) that the proposed project would support. Provide a brief description of each of the following for each of the preschool programs:

1. the ages and number of the children being served;
2. demographic and socioeconomic information on those children;
3. information on the type(s) of special needs that any of the children may have;
4. the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s);
5. the basic instructional program; and
6. the number of staff and their qualifications.

While applicants are not required to do so, this information may be provided in chart format.

Include endnote citations for research cited specifically in the Pre-Application Narrative. A specific citation style is not required, however, each reference should include at a minimum the author(s), the title of the book, or journal and article, and the date of publication. Do not include a general reference bibliography.

Applicants that respond to the invitational priority for programs that serve children with limited English proficiency (LEP) may include in the appendices a 2-page English language acquisition plan.

Your Pre-Application Appendices may only include the enclosures specified on the Early Reading First Pre-Application Final Checklist on page D-25.

### **PAGE AND FORMATTING STANDARDS**

- A page is 8.5”, on one side only, with 1” margins at the top, bottom, and both sides. The name of the applicant and the page number should be placed in the header of the document. Headers may be placed in the margins.
- Double space (no more than three lines per vertical inch) all text in the pre-application narrative, including titles, headings, quotations, and references included in the body of the narrative.
- Text in endnotes, charts, tables, figures and graphs may be single-spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch), including text in endnotes, charts, tables, figures, and graphs.

NOTE: Do not include any enclosures or appendices other than those listed on the “Pre-Application Final Checklist,” on page D-25. ED will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 10 pages of the Pre-Application Narrative and the other limited materials listed in the Pre-Application Final Checklist (except for any English language acquisition plan). Any other materials, including non-print materials such as videotapes or CDs, will not be considered.

Our reviewers will not read any of the specified sections of your pre-application that exceed the page limits if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

If you qualify for an exception to the electronic submission requirement and submit your pre-application in paper format: Submit the signed original pre-application in a format that will ensure that the pre-application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Please do not submit your pre-application bound or in a three-ring binder.

## **PRE-APPLICATION SELECTION CRITERION, INVITATIONAL PRIORITIES AND THE COMPETITIVE PREFERENCE PRIORITY**

Each of the following factors within the selection criterion is critical to the design and implementation of high-quality Early Reading First projects for improving early childhood education programs serving preschool-age children (“preschool programs”). Peer reviewers will rate each pre-application by assigning up to the total number of points indicated below for the responses to the selection criterion. Pre-applications will also be evaluated based on one competitive preference priority (Novice Applicant) and will be assigned 5 points if they meet that priority. As explained below, this application has three invitational priorities. Applications that meet any or all of these invitational priorities do not receive any competitive or absolute preference. In determining which applicants to invite to submit full applications, ED will consider the rank order of the pre-applications based on the pre-application selection criterion and the competitive preference priority.

To be competitive at the pre-application phase, applicants should propose an approach to creating quality preschool programs that is comprehensive, feasible, and grounded in scientifically based research on effective strategies and professional development in the areas of language, cognitive, and early reading development. This should be evident in the activities, materials and curricula the applicant proposes implementing in the Early Reading First project, the research basis in which the program design is grounded, and the approach the applicant will use to ensure that children have attained necessary foundational skills to transition successfully into a Reading First program.

The Secretary is especially interested in proposals that would use Early Reading First funds to support preschool programs that operate full-time, full-year early childhood educational programs, at a minimum of 6.5 hours per day, 5 days per week, 46 weeks per year, and that serve children for the two consecutive years prior to their entry into kindergarten. Early Reading First funds may be used to meet this invitational priority. The intent of this first invitational priority is to respond to scientifically based research on increasing the effectiveness of early childhood education programs serving children from low-income families. This research tells us children attending early childhood education programs that have a greater intensity of service make higher and more persistent gains in the language and cognitive domains than children who attend such programs that have lesser intensity of service. That is, children who spend more time in high-quality early childhood education programs learn more than children who spend less time in those programs. This first invitational priority is intended to encourage preschool programs supported with Early Reading First funds to provide services that are of a sufficient duration and intensity to maximize language and early literacy gains for children enrolled in those programs.

The Secretary is also especially interested in projects in which, in all preschool centers supported by the Early Reading First funds, at least 75 percent of the children enrolled in the preschool qualify to receive free or reduced priced lunches; or at least 75 percent of the children enrolled in the elementary school in the school attendance area in which that center is located, qualify to receive free or reduced priced lunches. The intent of this second invitational priority is to respond to one of the statutory purposes of the Early Reading First program. The legislation states that one of the purposes of Early Reading First is to enhance the early language, literacy, and early reading development of preschool-age children, particularly those from low-income families. This priority is intended to increase the likelihood that preschool programs supported with Early Reading First funds serve children primarily from low-income families.

In addition, for applicants serving children with limited English proficiency, the Secretary is especially interested in applications that include a specific plan for the development of English language proficiency for these children from the start of their preschool experience. The Early Reading First program is designed to prepare children to enter kindergarten with the necessary cognitive, early language, and literacy skills for success in school. School success often is dependent on each child entering kindergarten being as proficient as possible in English so that the child is ready to benefit from formal reading instruction in English when they start school.

The English language acquisition plan should, at a minimum: (1) include a description of the approach for the development of language, based on the linguistic factors or skills that serve as the foundation for a strong language base, which is a necessary precursor for success in the development of pre-literacy and literacy skills for children with limited English proficiency; (2) explain the instructional strategies, based on best available valid and reliable research, that the applicant will use to address English language acquisition in a multi-lingual classroom; (3) describe how the project will facilitate the children's transition to English proficiency by means such as the use of environmental print in appropriate multiple languages, and hiring bilingual teachers, paraprofessionals, or translators to work in the preschool classroom; (4) include intensive professional development for instructors and paraprofessionals on the development of English language proficiency; and (5) include a timeline that describes benchmarks for the introduction of the development of English language proficiency and the use of measurement tools. Ideally, at least one instructional staff member in each ERF classroom should be dual-language proficient both in a child's first language and in English to facilitate the child's understanding of instruction and transition to English proficiency. At a minimum, each classroom should include a teacher who is proficient in English.

Applications that meet any or all of these three invitational priorities do not receive any absolute or competitive preference.

Early Reading First is subject to the Government Performance and Results Act (GPRA). The GPRA requires each agency and program to set targets for its performance, measure progress toward those targets, report on whether or not the targets have been met, and describe future strategies for continued striving toward those targets. This process is designed to improve program management, and to help Congress, the Department of Education, the Office of Management and Budget, and others review a program's progress toward its goals. Under the GPRA, the Secretary has established the following two measures for evaluating the overall effectiveness of the Early Reading First program:

1. The percentage of preschool-age children participating in Early Reading First programs who achieve significant gains on oral language skills as measured by the Peabody Picture Vocabulary Test-III, Receptive; and
2. The average number of letters that preschool-age children are able to identify as measured by the Upper Case Alphabet Knowledge subtask on the PALS Pre-K assessment.

The Secretary expects all grantees to document their success in addressing these performance measures in the required annual performance report.

For further guidance, please also refer to the Early Reading First statute and other relevant statutory definitions that are located in Section C of this application package. Those statutory provisions

include the program purposes and required project activities, as well as statutory definitions of key terms such as: scientifically based reading research, screening reading assessment, professional development and teacher mentoring. You may also find helpful the non-regulatory guidance, frequently asked questions (FAQs), and resource sampler on the Early Reading First website at: <http://www.ed.gov/programs/earlyreading/legislation.html>



**ADDRESS THE FOLLOWING  
PRE-APPLICATION SELECTION CRITERION**

Reminder to Applicants: The applicant should prepare the Pre-Application Narrative to respond to the factors that comprise the Pre-Application Selection Criterion in the order in which they are listed. To avoid redundancy within the pre-application, information that the applicant provides in one section of the pre-application may be cross-referenced in another section. Reviewers will base their evaluation of the pre-application on the Pre-Application Narrative and other limited materials listed in the Pre-Application Final Checklist on page D-25 of this application package (except for any English language acquisition plan responding to the invitational priority).

This program has separate selection criteria for the pre-application and the full application. The Secretary will use the following selection criterion in section 75.210 of EDGAR (34 CFR 75.210) to evaluate pre-applications under this competition. The maximum score for this selection criterion is 100 points. Use no more than a total of 10 double-spaced pages to address the selection criterion. The criterion and the factors that make up the criterion follow in the boxes below.

**QUALITY OF THE PROJECT DESIGN (0-100 points)**

**The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:**

*Selection Criterion 1, Factor 1:* The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

*Selection Criterion 1, Factor 2:* The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))

*Selection Criterion 1, Factor 3:* The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))

*Selection Criterion 1, Factor 1:* The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

Applicants may address this factor in any way they choose. However, the Secretary believes that high-quality applications addressing *Selection Criterion 1, Factor 1* likely will –

- Include in the appendices, full endnote citations supporting the research basis for the Quality of Project Design (Selection Criterion 1) narrative. Do not include a general reference bibliography.

- Explain the extent to which the body of research on which the project is based meets the definition of Scientifically Based Reading Research in Section 1208 of the ESEA, included in Section C of this application package.

NOTE: *Selection Criterion 1, Factor 2:* The Early Reading First statute lists 5 purposes for the Early Reading First program that can be found in Section C of this application package. For the applicant's convenience, they are listed below.

Purpose 1: To integrate such scientific reading research-based instructional materials and literacy activities (*from Purpose 2*) with existing programs of preschools, child care agencies and programs, Head Start centers, and family literacy services.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 1* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Specify the existing preschool program(s) that the project proposes to support and improve with Early Reading First funds. The Secretary recommends that, in the case of center-based programs, the applicant generally include no more than a total of 5 centers in order to ensure that funds are sufficiently concentrated to achieve the program goals.
- Explain how each existing center selected for the proposed project has the capacity and potential to become an Early Reading First preschool center of educational excellence. The Secretary believes that such centers are likely to be preschool programs that currently:
  - Have existing, appropriately equipped, preschool classrooms in which the Early Reading First program will be implemented.
  - Have high rates of daily attendance for enrolled children.
  - Are staffed by teachers with the qualifications necessary to implement a language and literacy focused project, such as a bachelor's degree.
  - Demonstrate a history of low staff turnover.
  - Effectively attend to the developmental domains traditionally supported by preschool programs, including social, emotional, and physical; and are ready to implement an added component focused on developing young children's oral language, cognition, early reading skills.

The Secretary recommends that the applicant demonstrate the program's current capacity when describing the context of the existing program. Capacity could be demonstrated through accreditation, results on assessments of global program quality (e.g., an assessment that looks at all facets of early childhood programs, such as safety and adequacy of the physical space of the environment, health and sanitary practices related to the children and staff, etc.), and/or the outcomes of children who have attended each program.

- Include in the appendices the name(s) and address(es) of the preschool program(s) that the proposed project would support. Provide a brief description of each of the following for each of the preschool programs:
  1. the ages and number of the children being served;
  2. demographic and socioeconomic information on those children;
  3. information on the type(s) of special needs that any of the children may have;
  4. the average hours the children attend the program (hours/day, days/week, and months/year);

5. primary funding source(s);
6. the basic instructional program; and
7. the number of staff and their qualifications.

While applicants are not required to do so, this information may be provided in chart format.

Purpose 2: To demonstrate language and literacy activities based on scientifically based reading research that supports the age-appropriate development of –

- a. Recognition, leading to automatic recognition, of letters of the alphabet;
- b. Knowledge of letter sounds, the blending of sounds, and the use of increasingly complex vocabulary.
- c. An understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;
- d. Spoken language, including vocabulary and oral comprehension abilities; and
- e. Knowledge of the purposes and conventions of print.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 2* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the proposed project’s goals for improving young children’s oral language, phonological awareness, print awareness and alphabet knowledge.
- Outline the curriculum’s defined scope and sequence and describe how it is structured, systematic, and aligned to support the development of children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Describe how the curriculum, combined with project procedures and other supports, will ensure that each day teachers know what they are supposed to do in order to support the development of children’s oral language, phonological awareness, print awareness, and alphabet knowledge, and the extent to which the curriculum and other project supports will provide teachers with the materials to do it.
- Describe how instruction in new knowledge and skills is explicit and intentional and starts as teacher directed and moves towards more independent activity within the context of whole group instruction and practice, small group instruction and practice, and independent practice.
- Outline the content (subject matter) that will be provided as the context for improving children’s oral language and background knowledge.
- Detail the amount of time the proposed program will spend developing each child’s language, cognition, and early reading skills.

Purpose 3: To provide preschool-age children with cognitive learning opportunities in high-quality language and literature rich environments, so that children can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 3* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the proposed project’s goals for improving the language and print richness of the environment.
- Describe the strategies and materials that the project proposes to enhance the literature and print richness of the environment.
- Describe the strategies and materials that the project proposes to implement so that the physical environment will provide support for the development of children’s oral language.

- Describe the strategies and materials that the project proposes to implement so that the physical environment will provide support for the development of children’s background knowledge.

*Purpose 4:* To support local efforts to enhance the early language, literacy and prereading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 4* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the goals for the project’s proposed professional development program.
- Describe the content and scope and sequence of the professional development to be provided.
- Explain the strategies and materials that will be implemented in the professional development that will ensure that it will be classroom focused and will enhance the implementation of the curricula, materials and instructional strategies outlined in the applicant’s response to Purpose 2.
- Delineate the number of hours, the frequency, and the method of delivery of the professional development for each teacher and the extent to which the professional development will be high quality, sustained and intensive.
- If teacher mentoring is provided as part of the professional development plan, specify the qualifications of the teacher mentor and explain the link between the teacher mentoring and the professional development delivered in a classroom or workshop setting.

While it is not necessary for applicants to repeat demographic information provided in the response to the *Purpose 1* regarding the income level of children whose early language, literacy and prereading development will be enhanced through the professional development provided to the teachers, applicants may wish to cross-reference this material.

*Purpose 5:* To use screening reading assessments to effectively identify preschool-age children who may be at risk for reading failure.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 5* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Specify screening instruments for young children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Specify progress monitoring instruments for young children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Provide validity and reliability data for specified measures, when it exists.
- Describe strategies, systems and professional development activities that will ensure teachers gather high-quality data and will assist teachers with using information gained from screening reading and progress monitoring assessments to improve instruction for individual children.

While it is not necessary for applicants to repeat information provided in the response to the *Purpose 4* regarding the content of professional development in response to *Purpose 5*, applicants may wish to cross-reference this material.

*Selection Criterion 1, Factor 3:* The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))

Applicants may address this factor in any way they choose. However, the Secretary believes that high-quality applications addressing *Selection Criterion 1, Factor 3* likely will –

- Demonstrate how the proposed project will coordinate with the LEA to prepare students with the foundational language, cognitive, and early reading skills to ensure a successful transition into the LEA’s Reading First program, if it has one, or a district elementary reading program based on scientific research.

**TOTAL PAGE LIMIT FOR THE PRE-APPLICATION NARRATIVE:  
10 DOUBLE-SPACED PAGES**



**EARLY READING FIRST PROGRAM  
PRE-APPLICATION COMPETITIVE PRIORITY  
NOVICE APPLICANT**

Early Reading First Pre-Applications that meet the following competitive priority will receive 5 extra points. An Early Reading First program pre-application that is submitted by a *novice applicant* (or a group of novice applicants) under §75.225 of the Education Department General Administrative Regulations (EDGAR) that is otherwise eligible to apply under this competition qualifies for this competitive priority.

To obtain points under this pre-application competitive priority an applicant must:

1. Qualify as a novice applicant as described in EDGAR §75.225 (included below) and
2. Check “Yes” in response to the applicable question on the Supplemental Information form accompanying the Application for Federal Assistance Form (SF-424) or on the Application for Federal Assistance Form (SF-424) that the applicant files with its pre-application.

**Electronic Submissions:** Applicants must check “Yes” in response to Question 2 on the form entitled “Supplemental Information Required for Department of Education” accompanying SF-424 (Application for Federal Assistance), included on ED’s electronic Grants.gov Apply site: <http://www.grants.gov>

**Paper Format Submissions (for applicants that qualify for an exception to electronic submission):** Applicants must check “Yes” in response to Question 6 on Form ED-424 (Application for Federal Assistance), included in this application package.

If “Yes” is not checked in response to the applicable question, the applicant will not be considered for these priority points.

Questions regarding eligibility for this competitive priority may be submitted to: Jill Stewart, e-mail [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov), or by phone to 202-260-2533; or to Rebecca Haynes, e-mail [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov) or by phone to 202-260-0968.

*§75.225 What procedures does the Secretary use if the Secretary decides to give special consideration to novice applications?*

*(a) ... "novice applicant" means--*

*(1) Any applicant for a grant from ED that--*

*(i) Has never received a grant or subgrant under the program from which it seeks funding;*

*(ii) Has never been a member of a group application, submitted in accordance with sections 75.127-75.129, that received a grant under the program from which it seeks funding; and*

*(iii) Has not had an active discretionary grant from the Federal Government in the five years before the deadline date for applications under the program.*

*(2) In the case of a group application submitted in accordance with sections 75.127-75.129, a group that includes only parties that meet the requirements of paragraph (a)(1) of this section.*

*(b) For the purposes of paragraph (a)(1)(iii) of this section, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.*

This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.





**EARLY READING FIRST  
PRE-APPLICATION FINAL CHECKLIST**

**(FOR PAPER APPLICATION SUBMISSION IF QUALIFY FOR EXCEPTION TO  
ELECTRONIC SUBMISSION; FOR ELECTRONIC SUBMISSION DOCUMENTS, REFER TO  
ED'S ELECTRONIC GRANTS.GOV APPLY SITE: [WWW.GRANTS.GOV](http://WWW.GRANTS.GOV))**

The Pre-Application (in this order):

**Part I: Preliminary Documents (required for all applicants except as indicated below)**

- ☐ Survey on Equal Opportunity for Applicants, sealed in an envelope labeled “Applicant Survey” and placed on top of your pre-application package (see “Forms” section) (if applicable)
- ☐ SF-424, Application for Federal Assistance, CFDA No. 84.359A (Face Sheet) (see “Forms” section) (For electronic submissions, you must download the PureEdge forms SF-424 and “Supplemental Information Required for Department of Education” at [www.grants.gov](http://www.grants.gov) and complete them.)
- ☐ Pre-Application Form A (Applicant Eligibility) (in “Forms” section) (For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)
- ☐ Title Page-optional for electronic applications (For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)
- ☐ Table of Contents-optional for electronic applications (For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)
- ☐ Abstract briefly describing proposed project (1 page only, double-spaced, not numbered, applicant name at the top) (For electronic submissions, attach this document to the “ED Abstract Form” in the Grants.gov application package.)

**Part II: Pre-Application Narrative (required) (For electronic submissions, attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.)**

- ☐ Narrative addressing pre-application selection criterion (the equivalent of no more than 10 pages, double-spaced, 12 point font, numbered, applicant name at the top of each page)

**The Appendices (required, except as indicated below or on the form) (For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)**

- ☐ List of names and addresses of existing preschool program(s) that the proposed Early Reading First project would support (generally limited to approximately five (5) centers), including a brief description indicated under Quality of Project Design, (Selection Criterion 1), Note, Purpose 1.
- ☐ Endnote citations (Do not include a general reference bibliography.)
- ☐ English language acquisition plan (optional)

**Please check to make sure that you have done the following:**

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359A) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ You have included the signed original, and at least two copies of your complete pre-application.



## ***EARLY READING FIRST PROGRAM PRE-APPLICATION FORMS***

For applicants submitting through grants.gov you must download the PureEdge forms at [www.grants.gov](http://www.grants.gov) and complete them. If however, you qualify for an exception to the required electronic submission and submit the pre-application in paper format, all forms are included in this application package. Additional copies may be downloaded from <http://www.ed.gov/fund/grant/apply/appforms/appforms.html> or as indicated below.

- (1) SF Form 424, Application for Federal Assistance (CFDA # 84.359A)
- (2) Pre-Application Form A - Applicant Eligibility (required for all applicants) — attached below, and can be downloaded from this application package, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/programs/earlyreading/index.html>
- (3) Survey on Ensuring Equal Opportunity for Applicants



# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. 02/28/2005

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

### Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N | | | | - | | | | | | | | | | | |

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No  
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

Title: \_\_\_\_\_

8. Type of Applicant (Enter appropriate letter in the box.) | | | |

5. Project Director: \_\_\_\_\_

A - State  
B - Local  
C - Special District  
D - Indian Tribe  
E - Individual  
F - Independent School District  
G - Public College or University  
H - Private, Non-profit College or University  
I - Non-profit Organization  
J - Private, Profit-Making Organization

Address: \_\_\_\_\_

K - Other (Specify): \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

## Application Information

### 10. Type of Submission:

-PreApplication -Application  
☐ Construction ☐ Construction  
☐ Non-Construction ☐ Non-Construction

13. Are any research activities involving human subjects planned at any time during the proposed project period?  
☐ Yes (Go to 13a.) ☐ No (Go to item 14.)

### 11. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

13a. Are all the research activities proposed designated to be exempt from the regulations?

☐ Yes (Provide Exemption(s) #): \_\_\_\_\_

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.

☐ Program has not been selected by State for review.

☐ No (Provide Assurance #): \_\_\_\_\_

### 14. Descriptive Title of Applicant's Project:

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:

End Date:

## Estimated Funding

15a. Federal \$ .00

b. Applicant \$ .00

c. State \$ .00

d. Local \$ .00

e. Other \$ .00

f. Program Income \$ .00

g. TOTAL \$ .00

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this pre-application/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_



## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")  
  
If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.  
  
If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")  
  
13a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
13a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request

14. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
15. **Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. **Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to

enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260



# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

## I. Definitions and Exemptions

### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption*

***2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.***

[Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*



**EARLY READING FIRST PROGRAM  
PRE-APPLICATION FORM A**

**APPLICANT ELIGIBILITY**

**Each pre-application must be submitted by one or more entities that qualify as an eligible applicant, and must include this completed form.** An eligible applicant may have other partners; *however, the grantee must be the eligible applicant listed on this form.* Eligible applicants are the following:

1. One or more local educational agencies (LEAs) that are eligible to receive a subgrant under the Reading First program (title I, part B, subpart 1, ESEA).
2. One or more public or private organizations or agencies (including faith based organizations) located in a community served by an eligible LEA. Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool-age children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).
3. One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

***Instructions:*** Complete the form by filling in the name and address of the eligible applicant in the left column. In the middle column, indicate the type of applicant by checking the appropriate box. In the right column, list the eligible LEA in which the applicant is located. The list of eligible LEAs and their CCD ID numbers can be found at the Early Reading First website located at <http://www.ed.gov/programs/earlyreading/eligibility.html>

NAME AND ADDRESS OF ELIGIBLE APPLICANT	TYPE OF APPLICANT (CHECK ONE)	ELIGIBLE LEA IN WHICH APPLICANT IS LOCATED <i>(include CCD ID number)</i>
.....  .....  .....	<input type="checkbox"/> Eligible LEA  <input type="checkbox"/> Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs	.....





# Survey on Ensuring Equal Opportunity FOR APPLICANTS

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

## INSTRUCTIONS FOR SUBMITTING SURVEY

**If submitting hard copy,** please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically,** please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? (*Check only one box.*)

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? (*Check only one box.*)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local )?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No





## ***Survey Instructions on Ensuring Equal Opportunity for Applicants***

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1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.



# Section E:

## EARLY READING FIRST FULL APPLICATION – PHASE 2

CFDA No. 84.359B

### **The Full Application Process**

**Full Application Deadline**  
**Full Application Procedures and Instructions**  
**Instructions for Electronic Submission of Full Applications**

### **Full Application Selection Criteria, Competitive Preference Priority, and Budget Information**

**Full Application Selection Criteria**  
**Full Application Competitive Preference Priority (Novice Applicant)**  
**Full Application Budget Information**

### **Full Application Final Checklist**

**Full Application Forms and Notice (for applicants qualifying for an exception to electronic submission; forms for electronic submission available at <http://www.grants.gov>):**

ED Form 424 (Application For Federal Assistance – CFDA # 84.359B)  
ED Form 524 (Budget Information Form – CFDA # 84.359B)  
Assurances – Non-Construction Programs (Standard Form 424B)  
Certification Regarding Lobbying (ED Form 80-0013)  
Disclosure of Lobbying Activities (SF LLL) (submit if applicable)  
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Transactions (Form ED-80-0014)  
Notice to All Applicants (Section 427, GEPA)

### **Other Important Information:**

Executive Order 12372 (Intergovernmental Review of Federal Programs)  
Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs

## THE FULL APPLICATION PROCESS

**ED determines which applicants will be invited to submit full applications, considering the rank ordering of the pre-applications based on the pre-application selection criterion and the competitive preference priority.** ED expects to notify pre-applicants regarding approval to submit a full application by early April 2006.

To help strengthen full applications and ensure that funded projects are of the highest possible quality, ED will provide applicants invited to submit full applications with the comments of their pre-application peer reviewers. (ED also will make available peer review comments to applicants not invited to submit full applications.)

In this second phase of the Early Reading First application process, peer reviewers will evaluate full applications on the full application selection criteria. Applications will also be evaluated on the full application competitive preference priority and will be assigned the number of points indicated if they meet it. ED will prepare a rank order of the full applications as determined by the total score.

The Secretary then determines which full applications will be selected for funding, considering the quality of the full applications, including their rank order. ED will make award determinations under section 75.217 of the Education Department General Administrative Regulations (EDGAR).

## FULL APPLICATION DEADLINE

Full applications for grants under this program must be submitted electronically using the Grants.gov Apply site at <http://www.grants.gov>, unless the applicant qualifies for an exception to the electronic submission requirement as explained in the *Federal Register* application notice (set forth in Section C of this application package) and complies with the requirements in that notice. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to the *Federal Register* application notice and “Instructions for Electronic Submission of Your Full Application” below. Through the Grants.gov Apply site, applicants will be able to download a copy of the application package, complete it offline, and then upload and submit the full application. **The deadline for electronic submission of Early Reading First program Full Applications is 4:30 p.m. (Washington, DC time), May 8, 2006.** We do not consider an application that does not comply with the deadline requirements.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

**Note:** To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**  
(continued from previous page)

**Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

**Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

**Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

(continued on next page)

**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**  
(continued from previous page)

**MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge:  
[http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf),  
and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## **FULL APPLICATION PROCEDURES AND INSTRUCTIONS**

Full applicants must submit an Abstract - the equivalent of 1 double spaced page; an Application Narrative - the equivalent of no more than 35 double-spaced pages addressing the full application selection criteria; a Budget on ED Form 524, Section A only; a Budget Narrative - the equivalent of no more than 5 double-spaced pages, and the other limited materials indicated in the Full Application Final Checklist on page E-33 (except for those that are optional).

Applicants submitting their full applications electronically must submit all parts of their full application using ED's web-based system in accordance with the instructions published in the Federal Register notice which is included in Section C of this application package.

Applicants that qualify for an exception to the electronic submission requirement and submit the application in paper format are required to submit one signed original and two complete copies of their full application.

### **PART I OF THE FULL APPLICATION**

**APPLICATION FOR FEDERAL ASSISTANCE FORM (SF-424)** (For electronic submissions, you must download the PureEdge forms SF-424 and "Supplemental Information Required for Department of Education" at [www.grants.gov](http://www.grants.gov) and complete them.)

Electronic Submissions (SF-424): Applicants submitting electronic applications must complete and submit Form SF424 and "Supplemental Information Required for Department of Education," available at ED's electronic Grants.gov Apply site: [www.grants.gov](http://www.grants.gov)

Paper Format Submissions (ED-424): Applicants that qualify for an exception to the electronic submission requirement and submit an application in paper format must complete and submit ED-424 with their full application narrative. The form and its instructions follow page E-35 of this application package.

Applicants that meet the Full Application Competitive Priority - Novice Applicants, receive 5 points in the full application portion of this grant competition. To obtain these points, an applicant submitting an electronic application that qualifies as a novice applicant must check "Yes" in response to Question 2 on the form entitled "Supplemental Information Required for Department of Education," accompanying the Application for Federal Assistance Form (SF-424) that it submits with its full application. (An applicant that qualifies for an exception to electronic submission and that therefore is submitting an application in paper format, and that qualifies as a novice applicant, must check "yes" in response to Question 6 on the Application for Federal Financial Assistance (ED-424) (included in this application package) that it files with its full application.) More information regarding the definition of a Novice Applicant can be found on page E-27.

**Abstract** (For electronic submissions, attach this document to the "ED Abstract Form" in the Grants.gov application package.)

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page.

Applicants may also include a title page and table of contents in Part I of their full application.



## **PART II OF THE FULL APPLICATION**

**Full Application Narrative** (For electronic submissions, attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.)

Peer reviewers will evaluate each full application on its response to the full application selection criteria listed below, based on how well the applicant responds to those selection criteria. The maximum number of total points that a full application may receive for the full application selection criteria is 100. The full application narrative is limited to 35 double-spaced pages using the criteria set forth in the *Federal Register* Notice that is included in Section C of this application package. The applicant should prepare the Full Application Narrative to respond to the selection criteria in the order in which they are listed.

If you qualify for an exception to the requirement to submit the application electronically and therefore are submitting a paper application, place the name of the applicant and the page number at the top of each page of the Full Application Narrative. Number each page consecutively with the first page of the narrative listed as page 1.

## **PART III OF THE FULL APPLICATION**

### **Budget and Budget Narrative – Full Application**

For the Full Application Budget, applicants must use ED Form 524, Section A only, which is attached and also available on ED’s website. (For electronic submissions, you must download the PureEdge form ED 524 at [www.grants.gov](http://www.grants.gov) and complete it.) Applicants must complete Section A, columns for the first, second, and third years, and the total column. Section B is not applicable to these grants.

This Budget must be accompanied by a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) that is no more than five double-spaced pages. ) (For electronic submissions, attach the Budget Narrative to the “Budget Narrative Attachment Form” in the Grants.gov application package.) Place the name of the applicant and the page number at the top of each page of the Budget Narrative. Number each page consecutively with the first page of the Budget Narrative listed as page 1. In the budget narrative, identify the general nature and amounts of proposed expenditures within budget categories and provide a brief justification of how you intend to spend the funds requested for each budget category. Include enough detail to enable reviewers and project staff to understand what the funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes.

### ***INDIRECT COST INFORMATION***

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Early Reading First program, CFDA #85.359A/B. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

**Note:** Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often *not* the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

An applicant that has not previously established an indirect cost rate with the Federal government or a State agency under a Federal program and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a *cost policy statement* that such applicants are urged to prepare (but NOT submit to ED) during the application process.

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate. Guidance for creating a cost policy statement can be obtained by sending an e-mail to [katrina.mcdonald@ed.gov](mailto:katrina.mcdonald@ed.gov).

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package or in the *Federal Register* application notice set forth in Section C of this application package.

## **PART IV OF THE FULL APPLICATION**

**Appendices** (For electronic submissions, attach these document to the “Other Attachment Forms” in the Grants.gov application package):

Include in the appendices the name(s) and address(es) of the preschool program(s) that the proposed project would support. Provide a brief description of each of the following for each of the preschool programs: the ages and number of the children being served; demographic and socioeconomic information on those children; information on the type(s) of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s); the basic instructional program; and the number of staff and their qualifications. This list and the descriptions are limited to the equivalent of a total of 5 one-sided, double-spaced pages. While applicants are not required to do so, this information may be provided in chart format.

Submit position descriptions (and resumes or curriculum vitae if available) for key personnel– no more than 5 people (including key contract personnel and consultants). Include no more than 3 one-sided pages for each resume or curriculum vita submitted. Applicants may consider anyone who has oversight or project-wide responsibilities a key person, including when applicable, the project director or principal investigator, the project manager or coordinator, the provider(s) of the professional development (including mentors), and the evaluator. Your project may have more key personnel than these five positions; additional key personnel for the project will need prior approval before hiring.

Include endnote citations for research cited specifically in the Full Application Narrative. A specific citation style is not required, however, each reference should include at a minimum the author(s), the title of the book, or journal and article, and the date of publication. Do not include a general reference bibliography.

Include documentation that demonstrates the support of the application by stakeholders who would implement it, particularly teachers, paraprofessionals, and center directors. This documentation should reflect an understanding of the proposed project and the stakeholders’ willingness to carry out and participate in the proposed project’s activities. This attachment is limited to the equivalent of 5 one-sided, double-spaced pages.

Applicants that respond (optional) to the invitational priority for programs that serve children with limited English proficiency (LEP) should include in the appendices the 5-page English language acquisition plan, which is limited to the equivalent of 5 one-sided, double-spaced pages.

Your Full-Application Appendices may only include the enclosures specified on the Early Reading First Full Application Final Checklist on pages E-31 and E-32.

## **FULL APPLICATION PAGE AND FORMATTING STANDARDS**

- A page is 8.5”, on one side only, with 1” margins at the top, bottom, and both sides. The name of the applicant and the page number should be placed in the header of the document. Headers may be placed in the margins.

- Double space (no more than three lines per vertical inch) all text in the full application narrative, including titles, headings, quotations, and references, included in the body of the narrative.
- Text in endnotes, charts, tables, figures and graphs may be single-spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch), including text in endnotes, charts, tables, figures, and graphs.

**NOTE:** Do not include any enclosures or appendices other than those listed on the “Full-Application Final Checklist,” on pages E-31 and E-32. ED will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 35 pages of the Full Application Narrative, the Budget, up to 5 pages of the Full Application Budget Narrative, and the other limited materials listed in the Full Application Final Checklist (except for any response to the invitational priority for an English language acquisition plan). Any other materials, including non-print materials such as videotapes or CDs, will not be considered.

Our reviewers will not read any of the specified sections of your full application that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

If you qualify for an exception to the electronic submission requirement and submit a full application in paper format, submit the signed original full application in a format that will ensure that the full application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Please do not submit your application bound or in a three-ring binder.

## **INSTRUCTIONS FOR ELECTRONIC TRANSMISSION OF YOUR FULL APPLICATION**

**Attention Applicants:** Please note that you must follow the application procedures as described in the Federal Register notice announcing the grant competition, included in section C of this application package.

Full applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in the *Federal Register* application notice, set forth in Section C of this application package.

### **Electronic Submission of Applications**

Full applications for grants under the Early Reading First program (CFDA Number 84.359B) must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your full application. You may not e-mail an electronic copy of a grant application to us.

We will reject your full application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the full application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the full application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Early Reading First program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your full application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the full application deadline date. Except as otherwise noted in this section, we will not consider your full application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the full application deadline date. When we retrieve your full application from Grants.gov, we will notify you if we are rejecting your full application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the full application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the full application deadline date to begin the submission process through Grants.gov.
- You should review and follow the U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants for submitting an application through Grants.gov that are set forth in this section to ensure that you submit your full application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>
- To submit your full application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.Grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your full application the same D-U-N-S Number used with this registration. **Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit a full application via Grants.gov.**

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your full application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.
- Your electronic full application must comply with any page limit requirements described in this notice.
- After you electronically submit your full application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your full application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your full application).
- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:

If you are prevented from electronically submitting your full application on the full application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your full application electronically, or by hand delivery. You also may mail your full application by following the mailing instructions as described in the Notice Inviting Applications and below. If you submit a full application after 4:30 p.m., Washington, DC time, on the deadline date, please contact one of the following persons, whose names and contact information are provided in the Notice Inviting Applications under “For Further Information Contact,” and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available):

Jill Stewart  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C136  
Washington, DC 20202-6132  
Telephone: (202) 260-2533  
E-mail: [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov)

OR

Rebecca Haynes  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C138  
Washington, DC 20202-6132  
Telephone: (202) 260-0968  
E-mail: [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov)

We will accept your full application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your full application by 4:30 p.m., Washington, DC time, on the full application deadline date. The Department will contact you after a determination is made on whether your full application will be accepted.

**NOTE:** Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your full application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement:

You qualify for an exception to the electronic submission requirement, and may submit your full application in paper format, if you are unable to submit a full application through the Grants.gov system because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system; and
- No later than two weeks before the full application deadline date (14 calendar days or, if the fourteenth calendar day before the full application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your full application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the full application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the full application deadline date.

Address and mail or fax your statement to:

Jill Stewart  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C136  
Washington, DC 20202-6132  
Telephone: (202) 260-2533  
FAX number (202) 260-7764

OR

Rebecca Haynes  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 3C138  
Washington, DC 20202-6132  
Telephone: (202) 260-0968  
FAX number (202) 260-7764

Your paper full application must be submitted in accordance with the mail or hand delivery instructions described in the *Federal Register* application notice (set forth in Section C of this application package) and below.

**NOTE:** If an applicant requested an exception to the requirement for electronic submission relating to the pre-application, that request is separate from any request for an exception to the requirement for electronic submission for the full application. That is, if you wish to apply for exception to the electronic submission requirement for the full application, you must do separately, so even if you applied for and obtained such an exception for the pre-application.

## Submission of Paper Applications by Mail

If you qualify for an exception to the electronic submission requirement for the full application, you may mail (through the U.S. Postal Service or a commercial carrier), your full application to the Department. You must mail the original and two copies of your full application, on or before the full application deadline date, to the Department at the applicable following address:

### By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

### By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.359A/B)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your full application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your full application is postmarked after the full application deadline date, we will not consider your full application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.



## Submission of Paper Applications by Hand Delivery

If you qualify for an exception to the electronic submission requirement for the full application, you (or a courier service) may deliver your paper full application to the Department by hand. You must deliver the original and two copies of your full application by hand, on or before the full application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.359A/B)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your full application to the Department:

(1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your full application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the full application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## **EARLY READING FIRST PROGRAM FULL APPLICATION SELECTION CRITERIA**

Each of the selection criteria listed below is critical to the design and implementation of high-quality Early Reading First projects. ED, through a separate peer review panel of experts, will evaluate each full application based on the full application selection criteria (worth up to 100 points), and will determine whether each full application qualifies for an additional five points under the full application competitive preference priority included in the *Federal Register* application notice.

ED will select applicants for funding based on the quality of the full applications, including their rank order based on the full application selection criteria and competitive preference priority. In making funding decisions, ED will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. ED anticipates making final awards in August 2006, but in any event by September 30, 2006.

	<b><u>Maximum Points</u></b>
<b>1. Quality of the Project Design</b>	<b>(60 total points)</b>
<b>2. Quality of Project Personnel</b>	<b>(10 total points)</b>
<b>3. Adequacy of Resources</b>	<b>(5 total points)</b>
<b>4. Quality of Management Plan</b>	<b>(15 total points)</b>
<b>5. Quality of the Project Evaluation</b>	<b>(10 total points)</b>
<b>☺☺☺</b>	
<b>6. Competitive Preference - Novice Applicant(s)</b>	<b>(5 total points)</b>

**Reminder to Applicants:** The applicant should prepare the Full Application Narrative to respond to the Full Application Selection Criteria in the order in which they are listed. Applicants should not assume that reviewers have read their pre-applications and should ensure that their full applications include all information needed by the reviewers to evaluate their proposals. While the first selection criterion in the full application is identical to the pre-application selection criterion, applicants are encouraged to refine and expand upon the response they provided to the pre-application selection criterion. To avoid redundancy within the full application, information that the applicant provides in one section of the full application may be cross-referenced in another section. Reviewers will base their evaluation of the full application on the Full Application Narrative, the Budget and the Budget Narrative and other limited materials listed in the Full Application Final Checklist on page E-31.

### **Detailed Full Application Selection Criteria for Early Reading First Program**

#### **PART II - FULL APPLICATION NARRATIVE- ADDRESS EACH OF THE FOLLOWING FULL APPLICATION SELECTION CRITERIA**

The Secretary will use the following selection criteria in Section 75.210 of EDGAR (34 CFR 75.210) to evaluate full applications under this competition. The maximum score for all of these selection criteria is 100 points. The maximum score for each criterion is indicated in the parenthesis with the criterion. Use no more than a total of 35 double-spaced pages to address all of the following full application selection criteria. The criteria follow in the boxes below. Below each selection criterion, the factors that make up that criterion are delineated.

#### **QUALITY OF THE PROJECT DESIGN. (0 to 60 points)**

**The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:**

*Selection Criterion 1, Factor 1:* **The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))**

*Selection Criterion 1, Factor 2:* **The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))**

*Selection Criterion 1, Factor 3:* **The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))**

NOTE: *Selection Criterion 1, Factor 1*: The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

Applicants may address this factor in any way they choose. However, the Secretary believes that high-quality applications addressing *Selection Criterion 1, Factor 1* likely will –

- Include in the appendices, full endnote citations supporting the research basis for the Quality of Project Design (Selection Criterion 1) narrative. Do not include a general reference bibliography.
- Explain the extent to which the body of research on which the project is based meets the definition of Scientifically Based Reading Research in Section 1208 of the ESEA, included in Section C of this application package.

NOTE: *Selection Criterion 1, Factor 2*: The Early Reading First statute lists 5 purposes for the Early Reading First program that can be found included in Section C of this application package. For the applicant's convenience, they are listed below.

Purpose 1: To integrate such scientific reading research-based instructional materials and literacy activities (*from Purpose 2*) with existing programs of preschools, child care agencies and programs, Head Start centers, and family literacy services.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 1* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Specify the existing preschool program(s) that the project proposes to support and improve with Early Reading First funds. The Secretary recommends that, in the case of center-based programs, the applicant generally include no more than a total of 5 centers in order to ensure that funds are sufficiently concentrated to achieve the program goals.
- Explain how each existing center selected for the proposed project has the capacity and potential to become an Early Reading First preschool center of educational excellence. The Secretary believes that such centers are likely to be preschool programs that currently:
  - Have existing, appropriately equipped, preschool classrooms in which the Early Reading First program will be implemented.
  - Have high rates of daily attendance for enrolled children.
  - Are staffed by teachers with the qualifications (such as a bachelor's degree) necessary to implement a language and literacy focused project.
  - Demonstrate a history of low staff turnover.
  - Effectively attend to the developmental domains traditionally supported by preschool programs, including social, emotional, and physical; and are ready to implement an added component focused on developing young children's oral language, cognition, early reading skills.

The Secretary recommends that the applicant demonstrate the program's current capacity when describing the context of the existing program. Capacity could be demonstrated through accreditation, results on assessments of global program quality (e.g., an assessment that looks at all facets of early childhood programs, such as safety and adequacy of the physical space of the environment, health and sanitary practices related to the children and staff, etc.), and/or the outcomes of children who have attended each program.

- Include in the appendices the name(s) and address(es) of the preschool program(s) that the proposed project would support. Provide a brief description of each of the following for each of the preschool programs:
  1. the ages and number of the children being served;
  2. demographic and socioeconomic information on those children;
  3. information on the type(s) of special needs that any of the children may have;
  4. the average hours the children attend the program (hours/day, days/week, and months/year);
  5. primary funding source(s); the basic instructional program; and
  6. the number of staff and their qualifications.

While applicants are not required to do so, this information may be provided in chart format.

Purpose 2: To demonstrate language and literacy activities based on scientifically based reading research that supports the age-appropriate development of –

- a. Recognition, leading to automatic recognition, of letters of the alphabet;
- b. Knowledge of letter sounds, the blending of sounds, and the use of increasingly complex vocabulary.
- c. An understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;
- d. Spoken language, including vocabulary and oral comprehension abilities; and
- e. Knowledge of the purposes and conventions of print.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 2* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the proposed project’s goals for improving young children’s oral language, phonological awareness, print awareness and alphabet knowledge.
- Outline the curriculum’s defined scope and sequence and describe how it is structured, systematic, and aligned to support the development of children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Describe how the curriculum, combined with project procedures and other supports, will ensure that each day teachers know what they are supposed to do in order to support the development of children’s oral language, phonological awareness, print awareness, and alphabet knowledge, and the extent to which the curriculum and other project supports will provide teachers with the materials to do it.
- Describe how instruction in new knowledge and skills is explicit and intentional and starts as teacher directed and moves to more independent activity within the context of whole group instruction and practice, small group instruction and practice, and independent practice.
- Outline the content (subject matter) that will be provided as the context for improving children’s oral language and background knowledge.
- Detail the amount of time the proposed program will spend developing each child’s language, cognition, and early reading skills.

Purpose 3: To provide preschool-age children with cognitive learning opportunities in high-quality language and literature rich environments, so that children can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 3* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the proposed project’s goals for improving the language and print richness of the environment.
- Describe the strategies and materials that the project proposes to enhance the literature and print richness of the environment.
- Describe the strategies and materials that the project proposes to implement so that the physical environment will provide support for the development of children’s oral language.
- Describe the strategies and materials that the project proposes to implement so that the physical environment will provide support for the development of children’s background knowledge.

*Purpose 4:* To support local efforts to enhance the early language, literacy and prereading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 4* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Outline the goals for the project’s proposed professional development program.
- Describe the content and scope and sequence of the professional development to be provided.
- Explain the strategies and materials that will be implemented in the professional development that will ensure that it will be classroom focused and will enhance the implementation of the curricula, materials and instructional strategies outlined in the applicant’s response to Purpose 2.
- Delineate the number of hours, the frequency, and the method of delivery of the professional development for each teacher and the extent to which the professional development will be high quality, sustained and intensive.
- If teacher mentoring is provided as part of the professional development plan, specify the qualifications of the teacher mentor and explain the link between the teacher mentoring and the professional development delivered in a classroom or workshop setting.

While it is not necessary for applicants to repeat demographic information provided in the response to the *Purpose 1* regarding the income level of children whose early language, literacy and prereading development will be enhanced through the professional development provided to the teachers, applicants may wish to cross-reference this material.

*Purpose 5:* To use screening reading assessments to effectively identify preschool-age children who may be at risk for reading failure.

Applicants may address *Selection Criterion 1, Factor 2, Purpose 5* in any way they choose. However, the Secretary believes that high-quality applications likely will –

- Specify screening instruments for young children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Specify progress monitoring instruments for young children’s oral language, phonological awareness, print awareness, and alphabet knowledge.
- Provide validity and reliability data for specified measures, when it exists.

- Describe strategies, systems and professional development activities that will ensure teachers gather high-quality data and will assist teachers with using information gained from screening reading and progress monitoring assessments to improve instruction for individual children.

While it is not necessary for applicants to repeat information provided in the response to the *Purpose 4* regarding the content of professional development in response to *Purpose 5*, applicants may wish to cross-reference this material.

*Selection Criterion 1, Factor 3:* The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (34 CFR 75.210(c)(2)(xvi))

Applicants may address this factor in any way they choose. However, the Secretary believes that high-quality applications addressing *Selection Criterion 1, Factor 3* likely will –

- Demonstrate how the proposed project will coordinate with the LEA to prepare students with the foundational language, cognitive, and early reading skills to ensure a successful transition into the LEA’s Reading First program.

#### **QUALITY OF PROJECT PERSONNEL**

**(0-10 points)**

The Secretary considers the quality of personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1),(2)) In addition, the Secretary considers the following factors:

*Selection Criterion 2, Factor 1:* The qualifications, including relevant training and experience, of the project director or principal investigator. (34 CFR 75.210(e)(3)(i))

*Selection Criterion 2, Factor 2:* The qualifications, including relevant training and experience, of key project personnel. (34 CFR 75.210(e)(3)(ii))

*Selection Criterion 2, Factor 3:* The qualifications, including relevant training and experience, of project consultants or subcontractors. (34 CFR 75.210(e)(3)(iii))

NOTE: *Selection Criteria 2:* Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing Selection Criterion 2 and the above factors, likely will –

- Specify the steps the proposed project will take to ensure equitable employment practices. The response to this selection criterion, along with the applicant’s response to Quality of the

Project Services (Selection Criterion 2), will constitute the applicant's response to Section 427 of the General Education Provision's Act (see page E-33).

*Selection Criterion 2, Factor 1*

- Demonstrate the leadership experience of the proposed project director or principal investigator, including his/her past success with implementing large projects, bringing together different entities to work together towards a common goal, and building capacity for sustained improvement within an organization.
- Demonstrate the ability of the project director or principal investigator to serve as the instructional leader for a project grounded in scientifically based reading research and early literacy practices.

*Selection Criterion 2, Factor 2*

- Discuss the training, qualifications, and experience of other key personnel, including those who play vital roles in the quality of implementation of the proposed project. This could include such staff as teachers, mentors and other providers of professional development, evaluators, and members of the management team.
- Discuss the extent to which Early Reading First funds will be used to ensure that newly hired instructional personnel will have the qualifications (such as a bachelor's degree) necessary to support the development of young children's oral language, cognitive, and early reading skills.

*Selection Criterion 2, Factor 3*

- Discuss the training, qualifications, and experience of all entities with whom the proposed project will contract, especially those providing the professional development and evaluation services, if applicable.

Applicants may include a total of five position descriptions (and resumes/curriculum vitae if available) in the appendices in support of their response to *Selection Criterion 3, Factors 1, 2, and 3*. Each resume/curriculum vitae may be no more than three one-sided pages. Applicants may consider anyone who has oversight or project-wide responsibilities a key person, including when applicable, the project director or principal investigator, the project manager or coordinator, the provider(s) of the professional development (including mentors), and the evaluator. Your project may have more key personnel than these five positions; additional key personnel for the project will need prior approval before hiring.

**ADEQUACY OF RESOURCES**

**(0-5 points)**

**The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:**

***Selection Criterion 3, Factor 1:* The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. (34 CFR 75.210(f)(2)(ii))**

***Selection Criterion 3, Factor 2:* The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))**



NOTE: *Selection Criterion 3:* Applicants may address this selection criterion and factors in any way they choose. However, the Secretary believes that high-quality applications addressing Selection Criterion 3 and the above factors, likely will –

*Selection Criterion 3, Factor 1*

- Demonstrate the support of the application by those stakeholders who would implement it, particularly teachers, paraprofessionals, and center directors. The Secretary considers “partners” in the context of this factor to mean those stakeholders. If the successful implementation of the application requires the involvement or commitment of individuals or entities (for example, attending a certain number of hours of professional development, implementing new curriculum, or providing a certain number of release hours, etc.), then demonstrate their understanding of the proposed project and the willingness of the individuals and entities involved to carry it out. While not required, 5 one-sided, double-spaced pages of documentation providing evidence that the individuals and entities whose cooperation is crucial to the successful implementation of the proposed project understand it and are willing to support it may be included in the appendices.

*Selection Criterion 3, Factor 2*

- Explain the adequacy of the proposed costs in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits.
- Explain the adequacy of the proposed costs in relation to the significance of improvements of the proposed project over the existing project.
- Explain the adequacy of the proposed costs in relation to the increases in student achievement that would likely be attained by young children who are served by the proposed project.

**QUALITY OF MANAGEMENT PLAN**

**(0-15 points)**

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

*Selection Criterion 4, Factor 1:* The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

*Selection Criterion 4, Factor 2:* The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (34 CFR 75.210(g)(2)(ii))

*Selection Criterion 4, Factor 3:* The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210(g)(2)(iv))

NOTE: *Selection Criterion 4:* Applicants may address this selection criterion and factors in any way they choose. However, the Secretary believes that high-quality applications addressing Selection Criterion 4 and the above factors, likely will –

*Selection Criteria 4, Factor 1*

- Provide a management plan for achieving the proposed project's goals, including those proposed in *Selection Criterion 1, Factor 1, Purposes 2, 3 and 4.*
- Include benchmarks for each goal, project activities that support each benchmark, and a timeline that indicates when each of the activities will begin and target dates for completion. We expect that high quality applications will begin full implementation by January 15, 2006 including at a minimum, having the following components in place: all staff hired, professional development started, baseline assessments administered, classrooms transformed to print rich environments, and training completed on the approved curriculum.
- Specify objective indicators of achievement for each benchmark.
- Demonstrate that measurable progress towards achieving benchmarks and goals will occur within the first year of the proposed project's operation.
- Assign responsibility for each activity.

*Selection Criteria 4, Factor 2*

- Outline process and procedures for gathering and analyzing progress data to ensure that the proposed project is meeting the goals, including those proposed in *Selection Criterion 1, Factor 1, Purposes 2, 3 and 4.*
- Describe the process and procedures that will be used to develop and institute strategies that will result in project improvement based on progress data that are efficient, feasible, and are likely to result in continuous improvement.

*Selection Criteria 4, Factor 3*

- Specify the number of hours per week each key person will dedicate to project activities. In high quality projects, it is likely that the person who has oversight responsibilities for the project will devote at least 80 percent of that person's time to managing and implementing the Early Reading First project. Applicants may consider anyone who has oversight or project-wide responsibilities a key person, including when applicable, the project director or principal investigator, the project manager or coordinator, the provider(s) of the professional development (including mentors), and the evaluator.

**QUALITY OF THE PROJECT EVALUATION (0-10 points)**

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

***Selection Criterion 5, Factor 1:*** The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (34 CFR 75.210(h)(2)(i))

***Selection Criterion 5, Factor 2:*** The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (34

<b>CFR 75.210(h)(2)(iv))</b>
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NOTE: *Selection Criterion 5*: Applicants may address this selection criterion and factors in any way they choose. However, the Secretary believes that high-quality applications addressing Selection Criterion 5 and the above factors, likely will –

*Selection Criteria 5, Factor 1*

- Specify the methods and instruments the proposed project will use to evaluate the achievement of each of the proposed project goals, including those proposed in *Selection Criterion 1, Factor 1, Purposes 2, 3 and 4*.
- When feasible and appropriate, utilize child outcome data collected from screening reading assessments administered to all children.
- Describe the relationship between the progress monitoring instruments and the child outcome instruments proposed for use in the evaluation.
- Provide validity and reliability data for specified evaluation measures.

*Selection Criteria 5, Factor 2*

- Explain how the measures selected, including those proposed for *Selection Criterion 1, Factor 1, Purposes 2, 3 and 4*, provide both qualitative and quantitative data.
- Utilize measures other than or in addition to teacher self-report surveys and attendance records to evaluate the professional development.

*The Secretary encourages applicants to include a strong evaluation plan in the application narrative and to use it as appropriate, to shape the development of the project from the beginning of the grant period. Such a plan would include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, such a plan would identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator. The plan also would describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.*

**TOTAL PAGE LIMIT FOR THE FULL APPLICATION NARRATIVE:  
35 DOUBLE-SPACED PAGES**

## FULL APPLICATION COMPETITIVE PRIORITY - NOVICE APPLICANT

Early Reading First Full Applications that meet the following competitive priority will receive 5 extra points. An Early Reading First program full application that is submitted by a *novice applicant* (or a group of novice applicants) under §75.225 of the Education Department General Administrative Regulations (EDGAR) that is otherwise eligible to apply under this competition qualifies for this competitive priority.

**To obtain points under this full application competitive priority an applicant must:**

1. **Qualify as a novice applicant as described in EDGAR §75.225 (included below) and**
2. **Check “Yes” in response to the applicable question on the Supplemental Information form accompanying the Application for Federal Assistance Form (SF-424) or on the Application for Federal Education Assistance Form ED-424 that the applicant files with its full application.**

**Electronic Submission:** Applicants must check “Yes” in response to Question 2 on the form entitled “Supplemental Information Required for Department of Education” accompanying SF-424, and included on ED’s electronic Grants.gov Apply site: [www.grants.gov](http://www.grants.gov)

**Paper Format Submission (for applicants that qualify for an exception to electronic submission):** Applicants must check “Yes” in response to Question 6 on Form ED-424 (Application for Federal Education Assistance), included in this application package.

If “Yes” is not checked in response to the applicable question, the applicant will not be considered for these priority points.

Questions regarding eligibility for this competitive priority may be submitted to: Jill Stewart by e-mail at [Jill.Stewart@ed.gov](mailto:Jill.Stewart@ed.gov) or by phone to 202-260-2533; or to Rebecca Haynes by e-mail at [Rebecca.Haynes@ed.gov](mailto:Rebecca.Haynes@ed.gov) or by phone to 202-260-0968.



§75.225 What procedures does the Secretary use if the Secretary decides to give special consideration to novice applications?

- (a)... "novice applicant" means--
- (1) Any applicant for a grant from ED that--
    - (i) Has never received a grant or subgrant under the program from which it seeks funding;
    - (ii) Has never been a member of a group application, submitted in accordance with sections 75.127-75.129, that received a grant under the program from which it seeks funding; and
    - (iii) Has not had an active discretionary grant from the Federal Government in the five years before the deadline date for applications under the program

(2) In the case of a group application submitted in accordance with sections 75.127-75.129, a group that includes only parties that meet the requirements of paragraph (a)(1) of this section.

(b) For the purposes of paragraph (a)(1)(iii) of this section, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

....



This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.

## **PART III-BUDGET INFORMATION: HOW TO COMPLETE THE BUDGET PORTION OF THE FULL APPLICATION**

In order to be considered for Federal funding each applicant must provide the following with its full application:

- ED Form 524 Section A
- A descriptive Budget Narrative (limited to 5 double-spaced pages and serves to meet the requirements of ED Form 524, Section C) that explains the requested Federal amounts for individual cost categories, for Project Years 1, 2, and 3.

### **ED FORM 524**

ED Form 524 Section A is used to apply to individual U.S. Department of Education discretionary grant programs. All applicants must complete Section A, columns for Years 1, 2, and 3, and the total column. (Do not complete Section B.)

### **INSTRUCTIONS TO COMPLETE ED FORM 524, SECTION A**

Please refer to the instructions for ED Form 524 - Section A, following the form, included in this application package following page E-31. Following is additional information:

**Name:** Enter the Name of the applicant organization(s) or institution(s) in the blank space provided.

**Personnel (line 1):** Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

**Fringe Benefits (line 2):** The institution's normal fringe benefit contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

**Travel (line 3):** Indicate the travel costs of employees and participants only. (Please include travel to at least one Early Reading First conference in Year 1 of your project.) Include travel of such persons as consultants and trainees on line 6.

**Equipment (line 4):** Indicate the cost of non-expendable personal property that has a usefulness of greater than one year, and acquisition cost that is the lesser of the capitalization level established by the applicant entity for financial statement purposes, or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

**Supplies (line 5):** Show all tangible personal property except that included on line 4.

**Contractual (line 6):** Include consultant travel costs and fees.

**Construction (line 7):** Not applicable.

**Other (line 8):** Indicate all direct costs not covered on lines 1-6. Examples are equipment rental, required fees, communication costs, or printing costs.

**Total Direct Costs (line 9):** The sum of lines 1-8.

**Indirect Costs (line 10):** Indicate the applicant's approved, unrestricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. The Indirect Cost Information (following line 12) must be completed by the applicant's business office. For more information about indirect cost rates, see page E-7 of this application package and go to ED's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to ED for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. See page E-7 of this application package for a contact person with further information about that process.

**Training Stipends (line 11):** Indicate the level of awards given to participants either in the forms of stipends (non-repayable), or in the form of scholarships for tuition and fees.

**Total Cost (line 12):** This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column F, labeled *Total*, should also be equal to item 14(g) on the application face sheet (ED Form 424)

## **DETAILED BUDGET NARRATIVE**

Each full application must provide a Budget Narrative (which serves to meet the requirements of Form 524, Section C) for requested Federal funds. You must limit your Budget Narrative to the equivalent of no more than **5 double-spaced pages**, using a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

Please refer to the instructions for ED Form 524 - Section C following the form, included in this application package after page E-33. Following is additional program specific information:

The Budget Narrative for requested Federal funds should provide a justification of how money requested per budget category is intended to be spent. This Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. There should be enough detail to enable reviewers and project staff to understand what funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes. Applicants' narratives should contain the following information:

### **Personnel**

- Provide the title of each position.
- Provide the salary for each position.
- Provide the amount of time each person will devote to the project.
- Explain the importance of each position to the success of the project.

### **Fringe Benefits**

- Give the fringe benefit percentages (rates) of all personnel in the project., and the base on which those rates are calculated.

**Travel**

- Explain the purpose of the travel and how it relates to project success, and which staff will participate. Please include travel to at least one Early Reading First conference in Year 1 of your project.

**Equipment**

- Identify each type of equipment.
- Provide the cost per equipment item.
- Explain the purpose of the equipment, and how it relates to project success.

**Supplies**

- Identify the type of supplies by general category (e.g. instructional materials, office supplies, etc.)
- Provide the purpose for purchasing the supplies.

**Contractual**

- Provide the purpose and relation to project success.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).

**Construction**

No costs allowed.

**Other Direct Costs**

- Identify each type of cost in the *Other* category (e.g., communications, printing, postage, equipment rental).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.

**Total Direct Costs**

The amount that is the sum of expenditures, per budget category, of lines 1-8.

**Indirect Costs**

See previous reference to Indirect Costs, and the instructions for Form 524 – Section C following that form, included in this application package after page E-33.

**Training Stipends (Scholarships)**

- Identify who will benefit from a scholarship/stipend.
- Provide the purpose of the scholarship/stipend award.
- Identify the cost per scholarship/stipend.
- Explain the importance of the scholarship/stipend to the success of the project.





## **EARLY READING FIRST PROGRAM FULL APPLICATION FINAL CHECKLIST**

**The Full Application (in this order):**

### **Part I: Preliminary Documents (required for all applicants, except as indicated below)**

- ❑ SF 424 Form, Application for Federal Assistance, CFDA No. 84.359B (Face Sheet) **(in Forms section of this guide)**, including human subjects research narrative if applicable. **(For electronic submissions, you must download the PureEdge forms SF-424 and “Supplemental Information Required for Department of Education” at [www.grants.gov](http://www.grants.gov) and complete them.)**
- ❑ Title Page-optional **(For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)**
- ❑ Table of Contents-optional **(For electronic submissions, attach this document to the “Other Attachment Forms” in the Grants.gov application package.)**
- ❑ Abstract briefly describing proposed project (1 page only, double-spaced, not numbered, with project name at top) ) **(For electronic submissions, attach this document to the “ED Abstract Form” in the Grants.gov application package.)**

### **Part II: Full Application Narrative (required for all applicants)**

- ❑ Full Application Narrative (the equivalent of no more than 35 pages, double-spaced, 12-point font, addressing the full application selection criteria. **(For electronic submissions, attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.)**

### **Part III: Budget Information (required for all applicants)**

- ❑ ED 524 Form, Budget Information – Non Construction Programs, Section A only, columns for Project Years 1, 2, and 3, and total column. **(For electronic submissions, you must download the PureEdge form ED 524 at [www.grants.gov](http://www.grants.gov) and complete it.)**
- ❑ Budget Narrative (ED Form 524 - Section C) (Explanation of proposed costs in narrative form – this is in addition to the above estimated budget – the equivalent of no more than 5 pages, double-spaced, 12 point font) **(For electronic submissions, attach the Budget Narrative to the “Budget Narrative Attachment Form” in the Grants.gov application package.)**

### **Part IV: Appendices and Assurance and Certifications (required for all applicants, except as indicated below or on the form)**

**Appendices (For electronic submissions, attach these document to the “Other Attachment Forms” in the Grants.gov application package):**

- ❑ List of names and addresses of existing preschool program(s) that the proposed Early Reading First project would support (generally limited to approximately five (5) centers), including a brief description indicated under Quality of Project Design, (Selection Criterion 1), Note, Purpose 1.
- ❑ Position descriptions and Resumes/Curriculum vitae if available for key personnel – no more than 5 people (including key contract personnel and consultants). Include no more than 3 one-sided pages for each resume/curriculum vita submitted.
- ❑ Numbered endnote citations (Do not include a general reference bibliography.)
- ❑ Response (optional) to invitational priority for English language acquisition plan, limited to 5 single-sided, double-spaced pages.
- ❑ Demonstration of Stakeholder Support – limited to five (5) one sided pages. (No form.)

**Assurance and Certifications (For electronic submissions, the equivalent documents are included as “Mandatory Documents” in the “Application Package” in Grants.gov)**

- ☐ General Education Provisions Act (GEPA) Requirements – Section 427 Notice (response should be included in the full application narrative, see Notes under Selection Criteria 2 and 3)
- ☐ ED 80-0013 Form - Certification Regarding Lobbying (all applicants submit to ED)
- ☐ ED 80-0014 Form - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (for applicant's use only; do not submit to ED)
- ☐ SF 424B Form – Assurances, Non-Construction Programs (all applicants submit to ED)
- ☐ SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit only if applicable)

**Please check to make sure that you have done the following:**

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359B) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ You have included the signed original and at least two copies of your complete full application.

## ***EARLY READING FIRST PROGRAM FULL APPLICATION***

### ***FORMS***

For applicants submitting through grants.gov you must download the PureEdge forms at [www.grants.gov](http://www.grants.gov) and complete them. If however, you qualify for an exception to the required electronic submission and submit the pre-application in paper format, all forms are included in this application package. Additional copies may be downloaded from <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

1. **SF-424 Form and Instructions**– Application for Federal Education Assistance form (CFDA # 84.359B) (Note that the ED-424 form used for paper submissions is different from the Application Form for Federal Assistance, SF-424, used for electronic submissions.)
2. **ED 524 Form and Instructions** – Budget Information, Non–Construction Programs
3. **General Education Provisions Act (GEPA) Requirements - Section 427 Notice** – All applicants must respond to this notice in the narrative portion of their Full Applications. See Notes under Selection Criteria 2 and 3.
4. **ED 80–0013 Form** – Certifications Regarding Lobbying
5. **ED 80-0014 Form** - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (For applicant's use only; do not submit to ED.)
6. **SF 424B Form** – Assurances, Non-Construction Programs
7. **SF LLL Form** – Disclosure of Lobbying Activities (submit only if applicable)

### ***OTHER IMPORTANT INFORMATION***

Information on the following is attached below:

1. **Executive Order 12372 (Intergovernmental Review of Federal Programs)**
2. **Important Notice to Prospective Participants in U.S. Department of Education Grant and Contract Programs**



# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. 04/30/2008

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

3. Applicant's T-I-N | | | | - | | | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4  
Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) /\_\_\_\_/

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

## Application Information

### 10. Type of Submission:

-PreApplication -Application  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

11. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date: End Date:

## Estimated Funding

15a. Federal \$ \_\_\_\_\_.00

b. Applicant \$ \_\_\_\_\_.00

c. State \$ \_\_\_\_\_.00

d. Local \$ \_\_\_\_\_.00

e. Other \$ \_\_\_\_\_.00

f. Program Income \$ \_\_\_\_\_.00

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

13. Are any research activities involving human subjects planned at  
any time during the proposed project period?

\_\_\_ Yes (Go to 13a.) \_\_\_ No (Go to item 14.)

13a. Are all the research activities proposed designated to be  
exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

14. Descriptive Title of Applicant's Project:

g. TOTAL \$ \_\_\_\_\_ . 00

e. Signature of Authorized Representative

\_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")  
  
If Not Human Subjects Research. Check "No" if **research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.**  
  
If Human Subjects Research. Check "Yes" if **research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")**
- 13a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to



one or more of the six exemption categories listed in I.B. “Exemptions.” In addition, follow the instructions in II.A. “Exempt Research Narrative” in the attached page entitled “Definitions for Form ED 424.” Insert this narrative immediately following the ED 424 face page.

location. For preapplications, use a separate sheet to provide a summary description of this project.

**13a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. “Nonexempt Research Narrative” in the page entitled “Definitions for Form ED 424.” Insert this narrative immediately following the ED 424 face page.

**13a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project

- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 16e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

## —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 13 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*



**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
**U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_\_ Yes \_\_\_\_ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_ (mm/dd/yyyy)

Approving Federal agency: \_\_\_\_ ED \_\_\_\_ Other (please specify): \_\_\_\_\_

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

\_\_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_\_ Complies with 34 CFR 76.564(c)(2)?





Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**SECTION C – BUDGET NARRATIVE** (see instructions)



# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

## Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

## Section C - Budget Narrative [Attach separate sheet(s)]

### Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants"

(34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 708-7770 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED	

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully

participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.



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## **CERTIFICATION REGARDING LOBBYING**

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE





**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee Tier _____, if Known:   Congressional District, if known:	<b>5. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime:   Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>7. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



# Executive Order 12372 – Intergovernmental Review

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen Federalism by relying on State and local processes for State and local government coordination and review of Federal financial assistance.

Applicants must contact the appropriate State single point of contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the single point of contact for each of those States and follow the procedures established in each State under the Executive order.

In keeping with the Executive Order, the Office of Management and Budget has established and maintains a list of the States participating in the program. This list provides the names, addresses, telephone and fax numbers of designated State single points of contact and can be accessed at:

<http://www.whitehouse.gov/omb/grants/spoc.html>

In States that have not established a process or chosen a program for review, State, area-wide, regional and local entities may submit comments directly to the Department.

Any State process recommendation and other comments submitted by a State single point of contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address:

The Secretary  
**EO 12372**  
U.S. Department of Education  
Room 7E200  
400 Maryland Avenue SW  
Washington, DC 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR § 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the date indicated in this notice.

**Please note that the above address is not the same address as the one to which the applicant submits its completed applications. Do not send applications to the above address.**

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.gpoaccess.gov/nara/index.html>. Depository Library location and Federal Register services: <http://www.archives.gov/>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

**Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.**

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/fund/contract/apply/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**ED FORM 5348, 7/01**

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

**(If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you.) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:**

**U.S. Department of Education  
Application Control Center  
(202) 708-9493**

**(If your application is late, we will notify you that we will not consider the application.)**

## **GRANT AND CONTRACT FUNDING INFORMATION**

**The Department of Education provides information about grant and contract opportunities electronically in several ways:**

ED Internet Home Page	<a href="http://www.ed.gov">http://www.ed.gov</a>
OCFO Web Page Internet	<a href="http://www.ed.gov/about/offices/list/ocfo/grants/grants.html">http://www.ed.gov/about/offices/list/ocfo/grants/grants.html</a>
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